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# **PRESCREENING MILITARY OFFICER CANDIDATES FOR HIGH LEVEL SECURITY CLEARANCES**

by:  
Douglas B. Rosenthal

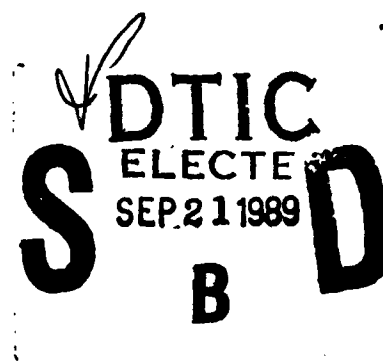
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A major emphasis of the PERSEREC research program is the improvement of the screening process for personnel who will have access to classified information. To guide this research it is necessary to document existing screening procedures and evaluate the potential for improvements. A previous study described the screening process for enlisted accessions for sensitive military jobs and recommended programmatic and research actions. This report complements that study by extending the inquiry to include the military service officer community.

This study documents current practices followed by the Services in making moral character determinations when screening applicants to the Academies, ROTC, OCS/OTS and other officer entry programs. It also provides an overview of subsequent screening for officer candidates prior to the request to the Defense Investigative Service to conduct a background investigation.

The report finds there is a need for clearly defined prenomination procedures for candidates being considered for sensitive positions. Further research is recommended to obtain a better understanding of what appears to be a substantial incidence of performance and conduct problems, leading to separation from service, for officers in top secret and SCI access jobs.

Carson K. Eoyang  
Director

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## EXECUTIVE SUMMARY

### Background

Approximately 25,000 officers are commissioned each year. As many as 11 percent of them are assigned an initial job requiring a security clearance of Top Secret (TS) or access to Sensitive Compartmented Information (SCI). It is costly and time consuming for the Defense Investigative Service (DIS) and the Services to investigate and adjudicate high level clearance cases. It is also a loss of resources for the Services to reassign or separate officers when derogatory information is uncovered after they have been commissioned and trained. Both the Services and DIS can therefore realize benefits from the use of procedures which successfully predict an officer's eligibility for a high level security clearance before a formal request is submitted to DIS to begin an investigation. This report documents current practices followed by the Services for achieving this result.

### Methodology

Three approaches were used to obtain information for this report. Service regulations, position papers, and instructions were reviewed for descriptions of current practices used to predict an individual's eligibility for a high level clearance. Structured interviews were held with personnel working in Service officer recruiting stations, military academies, Reserve Officer Training Corps (ROTC), and Officer Candidate School (OCS) and Officer Training School (OTS) programs. Automated records of officers maintained by the Defense Manpower Data Center (DMDC) were also analyzed.

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## Findings

There are two opportunities to conduct high level security clearance prescreening. The first is when the individual applies to a commissioning program. A variety of methods including applications, personal interviews, character references, police record checks, and drug and alcohol tests are routinely used to collect information to make a moral character determination. The determination is made for all officer applicants, regardless of the job to which they will be initially assigned. Evidence of a criminal record and use of illegal drugs appear to be the most common reasons for elimination of applicants who fail the moral character standards. There is variation among the Services and commissioning sources in efforts expended to uncover information used in making moral character determinations. For example, the Navy routinely conducts law enforcement inquiries on OCS applicants. Many of the other commissioning programs will only attempt to obtain this information if the applicant first admits to having a criminal record.

The second opportunity to determine whether officer candidates can qualify for a high level clearance is while they participate in a commissioning program. A national agency check (NAC) is conducted on all individuals accepted into a commissioning program. Students are also expected to abide by an honor code and report any significant arrests or convictions that occur during this time.

The Services automatically submit requests for a personnel security investigation (PSI) to DIS when students receive job assignments requiring Top Secret clearances. However, the Services first conduct prenomination

interviews when individuals are assigned to jobs requiring access to SCI. During the prenomination process, officials interview officer candidates, review their responses to a security form (i.e., DD 398), ask questions of local security police, and examine the student's military and medical records for information suggesting they are not eligible for a high level clearance.

Separation codes were analyzed for officers who entered the Services from FY 1975 through FY 1986 and had been separated as of FY 1988. Nine percent of all officer separations were recorded with codes subsumed under the category Failure to Meet Minimum Behavioral and Performance Criteria. These are not favorable reasons for separations and reflect failure to complete job training courses, being passed over for promotion, or engaging in other forms of unacceptable conduct. No evidence was found that the rate of officer separation varies depending on whether the job required a high level security clearance.

### **Conclusions**

The criteria the Services use to evaluate the moral character of commissioning program applicants are subsumed within the criteria used to make Secret clearance adjudications (i.e., the criteria listed in the DOD 5200.2-R regulations). Therefore, it is likely that a substantial number of applicants who fail the moral character standards would also have trouble obtaining a clearance needed later to work in a highly sensitive job.

It is more difficult to gauge how successfully the Services identify discreditable behaviors that students commit which will make them ineligible for a high security clearance. The prenomination interview would appear to be useful because it ensures that someone assumes responsibility for collecting, consolidating, and evaluating information about the officer candidate prior to submitting a request for the PSI. Data have not been collected, however, to determine how often this procedure actually results in a decision not to initiate the request.

A significant number of officers are separated for what appear to be serious performance and conduct problems. However, the extent to which these separations represent a national security risk will not be known until the links between behaviors resulting in unsuitability attrition and behaviors defined as damaging to national security are further established.

### **Recommendations**

To reduce the incidence of high level clearance denials, it is recommended that the practice of screening commissioning program applicants against the Service's moral character standards continue. This recommendation is based on the fact that the Service's moral character standards match the criteria that Service adjudicators presently use to grant clearances. To maximize their value as a security prescreen, moral character criteria should be applied at least as stringently as they are applied by Service adjudicators. Should the criteria used by adjudicators change, then the moral character standards should incorporate the changes.



The fact that the information obtained to make a moral character determination may be several years out of date by the time most officers are assigned their first job limits its use as a predictor of high level clearance eligibility. Prenomination interviews are used as an additional and more timely high level clearance prescreen for officer candidates needing eligibility for access to SCI. If the cost-effectiveness of their use can be supported, then prenomination interviews should also be used for officers assigned to jobs requiring a TS clearance.

## TABLE OF CONTENTS

|   | <u>Page</u> |
|---|-------------|
| <b>INTRODUCTION . . . . .</b>   | <b>1</b>    |
| Organization of the Report. . . . .   | 2           |
| When Officers Receive Security Clearances . . . . .                                   | 3           |
| Commissioning Programs. . . . .   | 6           |
| <b>ENTRY INTO OFFICER PROGRAMS. . . . .</b>   | <b>10</b>   |
| Academies . . . . .   | 11          |
| Reserve Officers Training Corps . . . . .   | 13          |
| Officer Candidate School/Officer Training School. . . . .                             | 15          |
| Platoon Leaders Class/Officer Candidate Class . . . . .                               | 20          |
| <b>EVALUATING CONDUCT OF CANDIDATES WHILE IN A COMMISSIONING<br/>PROGRAM. . . . .</b> | <b>23</b>   |
| <b>OFFICER ATTRITION. . . . .</b>   | <b>26</b>   |
| Reasons for Officer Separations . . . . .   | 26          |
| Officer Attrition as a Function of Military Job . . . . .                             | 33          |
| <b>CONCLUSIONS. . . . .</b>   | <b>39</b>   |
| Recommendations . . . . .   | 42          |
| <b>REFERENCES . . . . .</b>   | <b>43</b>   |

### Appendixes

|   |    |
|---|----|
| A. USMA Prescreening Forms. . . . .               | 44 |
| B. Air Force Academy Prescreening Forms . . . . . | 50 |
| C. Air Force ROTC Prescreening Forms. . . . .     | 55 |
| D. Navy OCS Prescreening Forms. . . . .           | 60 |
| E. Air Force OTS Prescreening Forms . . . . .     | 71 |
| F. Marine Corps Prescreening Forms. . . . .       | 81 |

## TABLE OF CONTENTS (Continued)

|  | <u>Page</u> |
|--|-------------|
| <u>List of Tables</u>  |             |
| 1. When Active Duty Officers Received A Background Investigation. . . . .  | 5           |
| 2. Active Force Officer Accessions by Service . . . . .  | 9           |
| 3. Possible Recruiter Responsibilities Relating to the Moral Character Evaluation of Applicants to OTS/OCS. . . . .  | 16          |
| 4. Categories of Codes Used to Record Officer Separations For FY 1975 Through FY 1986 Entry Cohorts (As of August 1988). . . . .   | 27          |
| 5. Officers with Recorded Separation Codes Indicating Failure to Meet Minimal Behavioral and Performance Criteria For FY 1975 Through 1986 Entry Cohorts (As of August 1988) . . . . . | 29          |
| 6. Officer Separation Due to Failure of Selection For Promotion By Paygrade For FY 1975 Through 1986 Entry Cohorts (As of August 1988). . . . .  | 30          |
| 7. Distribution of Active Duty Officers by Two-Digit DoD Occupation Codes (As of September 1988). . . . .  | 34          |
| 8. Four-Year Officer Attrition by Occupational Category For FY 1975 Through FY 1983 Entry Cohorts. . . . .   | 36          |

### List of Figures

|   |    |
|---|----|
| 1. Officer Attrition Cohort Due to Failure to Meet Behavioral and Performance Criteria. . . . . | 31 |
|---|----|

## INTRODUCTION

Approximately 25,000 officers each year are commissioned and assigned to military jobs. Analysis of military records maintained by the Defense Manpower Data Center (DMDC) suggests that as many as 11 percent will be assigned an initial job requiring a Top Secret (TS) or higher security clearance. Newly commissioned officers should be denied a high level clearance, and either reassigned or separated, if a clearance investigation uncovers sufficient information to indicate they cannot adequately protect highly sensitive information. However, such actions can translate into lost resources already spent on the officers' commissioning and training.

The Defense Investigative Service (DIS) conducts personnel security investigations (PSIs) which supply the Services with information to make adjudication decisions for high level security clearances. The investigation and adjudication process is often costly and time consuming. The number of PSIs that DIS must perform is reduced when the Military Services can identify, at an early stage, officer candidates who are obviously not eligible for a high level clearance.

This report documents the steps the Services are currently taking, before they submit requests for investigations to DIS, to evaluate the likelihood that officer candidates being assigned to highly sensitive jobs will receive high level clearances. This report provides a foundation for determining ways to improve the reliability, validity, and cost effectiveness of current procedures.

## **Organization of the Report**

The information appearing in this report was collected between June and November 1988 using three different approaches. First, Service regulations, position papers, and instructions were reviewed for descriptions of current practices used by the military to determine the trustworthiness and integrity of individuals who apply for and attend officer commissioning programs.

Second, structured interviews concerning security clearance prescreening were held with personnel working in Service officer recruiting stations, military academies, Reserve Officer Training Corps (ROTC), and Officer Candidate School (OCS) and Officer Training School (OTS) programs. Finally, automated records of officers maintained by the Defense Manpower Data Center (DMDC) were analyzed.

Reports have documented the military's methods for predicting whether enlisted applicants and recruits are eligible for security clearances (e.g., Crawford & Wiskoff, in press; Flyer, 1986). In comparison, little has been written about officers. In part, this may reflect the fact that, strictly speaking, the military does very little to prescreen officer candidates for their eligibility for a high level security clearance.

When individuals apply to a commissioning program the Services evaluate the "moral character." In practice, the kinds of information the Services use to make moral character determinations overlap with the kinds of information adjudicators use to make high level clearance decisions. Unquestionably, many officer applicants who are rejected for serious moral

character problems would have difficulty obtaining high level clearances. Thus, while the focus of this report is high level security clearance prescreening, much of the information presented in the early parts of this report concerns the practices followed by the Services in making moral character determinations.

The second opportunity to predict the eligibility of officer candidates for a high level clearance is while they participate in a commissioning program. Depending on the source of commissioning, the Services have up to 4 years to observe behaviors that officer candidates commit that would potentially preclude them from obtaining a high level clearance. The second part of this report reviews the use of honor codes, periodic recertifications of good behavior, and prenomination interviews to identify discreditable acts committed by officer candidates.

The final section of this report examines the reasons officers are separated from the military. A surprising number of officers, including some who obtained a high level clearance to work in their first job, have been separated for seriously substandard performance or the commission of improper behaviors.

#### **When Officers Receive Security Clearances**

A search of records held by federal agencies is initiated on all officer candidates who are accepted into a commissioning program. The search is called a National Agency Check (NAC) and is completed within several months following the acceptance of most applicants.

Depending on the nature and timing of the individual's first job assignment, he or she may also be granted a Top Secret clearance or be issued eligibility for access to Sensitive Compartmented Information (SCI) while in a commissioning program. Requests for high level clearances are submitted only after students are officially assigned a job requiring the clearance. In most cases, individuals are not officially assigned a job until they near completion of, or in fact complete, their commissioning program. This means that for Service Academy and ROTC students, it cannot be known at the time of their acceptance into the commissioning program who will need a high level clearance for their first job.

The Defense Investigative Service conducts background investigations (BIs) for officers assigned to jobs needing high level clearances. Table 1 provides information regarding the point in time, relative to commissioning date, when officers receive background investigations. The table is based on records of active duty officers (excluding warrant officers) who had received a background investigation as of August 1988. The first column under each Service indicates the number of officers with background investigations as a function of the point in time when they received it. The next column shows the proportion of each group relative to the total number of active duty officers in that Service with background investigations. The third column shows the proportion of officers in each group out of all active duty officers in that Service (i.e., both those with and without a BI).

Table 1

## WHEN ACTIVE DUTY OFFICERS RECEIVED A BACKGROUND INVESTIGATION

| Point in Time                        | Army       |                        |                   | Navy       |                        |                   | Air Force  |                        |                   | Marine Corps |                        |                   | DOO        |                        |                   |
|--------------------------------------|------------|------------------------|-------------------|------------|------------------------|-------------------|------------|------------------------|-------------------|--------------|------------------------|-------------------|------------|------------------------|-------------------|
|                                      | N with BIs | % of Officers with BIs | % of all Officers | N with BIs | % of Officers with BIs | % of all Officers | N with BIs | % of Officers with BIs | % of all Officers | N with BIs   | % of Officers with BIs | % of all Officers | N with BIs | % of Officers with BIs | % of all Officers |
| More than 4 yrs Before Commissioning | 423        | 1                      | 0                 | 159        | 0                      | 0                 | 209        | 0                      | 0                 | 31           | 0                      | 0                 | 822        | 1                      | 0                 |
| 1 to 4 Yrs Before Commissioning      | 986        | 2                      | 0                 | 269        | 1                      | 0                 | 267        | 0                      | 0                 | 44           | 1                      | 0                 | 1566       | 1                      | 1                 |
| 1 to 12 Months Before Commissioning  | 3875       | 9                      | 4                 | 1846       | 5                      | 3                 | 2802       | 5                      | 3                 | 29           | 0                      | 0                 | 8552       | 6                      | 3                 |
| 0 to 12 Months After Commissioning   | 4024       | 9                      | 5                 | 5276       | 15                     | 8                 | 8763       | 15                     | 9                 | 342          | 4                      | 2                 | 18405      | 3                      | 7                 |
| 1 to 4 Years After Commissioning     | 3991       | 9                      | 4                 | 9428       | 26                     | 15                | 7558       | 13                     | 8                 | 1718         | 21                     | 10                | 22695      | 16                     | 9                 |
| More Than 4 yrs After Commissioning  | 29157      | 69                     | 33                | 17174      | 48                     | 28                | 37440      | 65                     | 40                | 5868         | 73                     | 35                | 89639      | 62                     | 34                |
| Missing Information                  | 108        | 0                      | 0                 | 1456       | 4                      | 2                 | 117        | 0                      | 0                 | 52           | 1                      | 0                 | 1733       | 1                      | 1                 |
| Total                                | 42564      |                        | 48                | 36108      |                        | 58                | 57706      |                        | 62                | 8084         |                        | 48                | 144462     |                        | 55                |

Note: Warrant Officers excluded from this table. Data based on active duty officers as of August 1988. Totals of all active duty officers excluding warrant officers were Army - 89,240; Navy - 62,243; Air Force - 92,916; and Marine Corps - 16,908.



For all Services except the Navy, the majority of officers with high level clearances had been investigated more than 4 years after their commissioning. Across all Services (i.e., see columns headed DoD in the table), 62 percent had served as an officer for at least 4 years, before being investigated for a high level clearance.

By adding percentages, it can be seen that roughly 20 percent of all active duty officers with high level clearances were investigated while either in a commissioning program or shortly following their commissioning (i.e., within one year). This represents approximately 11 percent of all active duty officers (i.e., both those with and without a high level clearance).

#### **Commissioning Programs**

The practices which the Services follow to screen out unsuitable officer candidates varies by commissioning source. This section of the report, therefore, provides an overview of the major programs. Each Service relies on several commissioning programs to procure its military leaders. Some programs provide military training in combination with a college education (e.g., Service Academies, ROTC). Other programs (e.g., Officer Training School, Officer Candidate School) involve a relatively brief, but concentrated, period of military training for college graduates. The variety in commissioning programs helps ensure that the Services have access to a number of pools of educated and capable personnel (Rosenthal & Colot, in press).

There are three Service Academies: the United States Military Academy (USMA) at West Point, New York; the United States Naval Academy (USNA) at Annapolis, Maryland; and the United States Air Force Academy (USAFA) at Colorado Springs, Colorado. The Academies provide four years of instruction leading to a Bachelor of Science degree. While there is no separate academy for the Marine Corps, up to 16 percent of each Naval Academy graduating class can be commissioned as Marine Corps officers.

The Army, Navy, and Air Force also conduct Reserve Officer Training Corps programs at undergraduate colleges and universities. Undergraduates wishing to become Marine Corps officers can apply to the Marine Corps option of the Navy's ROTC. In addition to their regular studies, ROTC students perform drills several hours a week and receive instruction in a variety of military topics. Some ROTC programs may also require students to participate in military training for several weeks during one or more summers, during their college years.

The Officer Candidate/Training School program provides a means for commissioning college graduates. The program is called Officer Candidate School in the Army and Navy, and Officer Training School in the Air Force. Participants spend up to 20 weeks devoted to physical conditioning, learning about military life, and learning how to perform effectively as leaders. Since applicants selected for OCS/OTS have already completed their college education, a relatively brief amount of time is needed to train and commission them as compared with applicants selected for the Academies and ROTC.

For professionals in such fields as law, medicine, engineering, and the ministry, direct officer appointments are made. In general, direct commissioning is reserved for individuals who can contribute their special skills to the Services with a minimum of training.

The Marine Corps has a few unique programs for accessing officer candidates. One such program, the Platoon Leaders Class (PLC), is a commissioning program for undergraduates. The program provides financial assistance to students in exchange for a commitment to service as a Marine Corps officer upon graduation. Students in their first three years of college attend summer training sessions in Quantico, Virginia. Training concludes after the junior year. Unlike ROTC programs, PLC students may attend any college because on-campus military training is not part of the program. The counterpart to PLC for college graduates is Officer Candidate Class (OCC). Those accepted receive several weeks of rigorous physical and military training at Officer Candidate School, in Quantico, Virginia.

Table 2 presents data on officer accessions over the past eight fiscal years. By referring to the bottom rows of the table (i.e., DOD), one can see that across most years, ROTC has been the most productive source of military officers. The next most productive source has generally been OCS/OTS. Table 2 also indicates that a substantial proportion of officers were commissioned through a direct commissioning program.

Table 2

## ACTIVE FORCE OFFICER ACCESSION BY SERVICE

| Source                               | FY1980 | FY1981 | FY1982 | FY1983 | FY1984 | FY1985 | FY1986 | FY1987 |
|--------------------------------------|--------|--------|--------|--------|--------|--------|--------|--------|
| <b>ARMY</b>                          |        |        |        |        |        |        |        |        |
| Academy                              | 903    | 952    | 900    | 882    | 940    | 990    | 1023   | 1034   |
| ROTC                                 | 4077   | 4139   | 4401   | 4770   | 4685   | 5065   | 4669   | 3931   |
| OCS                                  | 709    | 735    | 730    | 830    | 750    | 750    | 750    | 695    |
| Direct Appointment                   | 2317   | 2495   | 2538   | 2228   | 2254   | 846    | 687    | 1326   |
| Other <sup>a</sup>                   | 2868   | 3181   | 2613   | 1930   | 1987   | 2421   | 2034   | 1153   |
| Total                                | 10874  | 11502  | 11182  | 10640  | 10616  | 10072  | 9163   | 8139   |
| <b>NAVY</b>                          |        |        |        |        |        |        |        |        |
| Academy                              | 785    | 811    | 900    | 893    | 820    | 856    | 849    | 860    |
| ROTC                                 | 969    | 879    | 1000   | 929    | 1107   | 1260   | 1364   | 1564   |
| Health Prof Scholarship <sup>b</sup> | 0      | 0      | 0      | 379    | 394    | 379    | 351    | 346    |
| OCS                                  | 2814   | 3842   | 2800   | 2892   | 1958   | 3233   | 3020   | 2203   |
| Direct Appointments                  | 1093   | 1606   | 1600   | 1391   | 1270   | 1171   | 1221   | 716    |
| Other <sup>a</sup>                   | 1064   | 1294   | 1300   | 995    | 794    | 1173   | 2068   | 1323   |
| Total                                | 6725   | 8432   | 7600   | 7479   | 6343   | 8072   | 8873   | 7012   |
| <b>MARINE CORPS</b>                  |        |        |        |        |        |        |        |        |
| Academy                              | 160    | 134    | 134    | 170    | 177    | 174    | 173    | 182    |
| ROTC                                 | 273    | 230    | 235    | 250    | 310    | 275    | 302    | 338    |
| OCC                                  | 499    | 485    | 594    | 503    | 231    | 204    | 187    | 414    |
| Other <sup>a</sup>                   | 436    | 339    | 568    | 502    | 382    | 431    | 498    | 463    |
| PLC                                  | 527    | 700    | 578    | 650    | 795    | 663    | 768    | 306    |
| Total                                | 1895   | 1888   | 2109   | 2075   | 1895   | 1747   | 1928   | 1703   |
| <b>AIR FORCE</b>                     |        |        |        |        |        |        |        |        |
| Academy                              | 887    | 870    | 800    | 900    | 1030   | 933    | 938    | 969    |
| ROTC                                 | 2083   | 2711   | 3200   | 3900   | 3941   | 3318   | 2369   | 2654   |
| Health Prof Scholarship <sup>b</sup> | 0      | 0      | 0      | 370    | 374    | 369    | 357    | 339    |
| OTS                                  | 4559   | 3005   | 2400   | 3300   | 2577   | 3135   | 2625   | 1592   |
| Direct Appointment                   | 1716   | 1431   | 1900   | 1600   | 1346   | 1450   | 1596   | 1249   |
| Other <sup>a</sup>                   | 598    | 600    | 500    | 130    | 70     | 43     | 53     | 28     |
| Total                                | 9843   | 8617   | 8800   | 10200  | 9338   | 9248   | 7938   | 6831   |
| <b>DOD</b>                           |        |        |        |        |        |        |        |        |
| Academy                              | 2735   | 2767   | 2734   | 2845   | 2967   | 2953   | 2983   | 3045   |
| ROTC                                 | 7407   | 7957   | 8836   | 9849   | 10043  | 9918   | 8704   | 8487   |
| Health Prof Scholarship <sup>b</sup> | 0      | 0      | 0      | 749    | 768    | 748    | 708    | 685    |
| OCS/OTS                              | 8082   | 7582   | 5930   | 7022   | 5285   | 7118   | 6395   | 4490   |
| Direct Appointment                   | 5126   | 5532   | 6038   | 5219   | 4870   | 3467   | 3504   | 3291   |
| Other <sup>a</sup>                   | 4966   | 5414   | 4881   | 3445   | 3233   | 4068   | 4653   | 2967   |
| OCC                                  | 1026   | 1185   | 1272   | 1265   | 1026   | 867    | 955    | 720    |
| Total                                | 29337  | 30437  | 29691  | 30394  | 28192  | 29139  | 27902  | 23685  |

<sup>a</sup>The majority of those classed as "Other" are generally warrant officers.

<sup>b</sup>Health Professional scholarships are awarded to officers, upon their commissioning, to pursue advanced degrees in the health services profession. Before FY 1983 Health Professional Scholarships were recorded with Direct Appointments.

## ENTRY INTO OFFICER PROGRAMS

Minimum qualifications are specified for entry into commissioning programs. All applicants must achieve minimum scores on officer aptitude test batteries (Brown, 1987). Applicants must meet age requirements, be U.S. citizens, and meet physical standards (i.e., height, weight, vision, and overall medical health). Furthermore, applicants who are single with dependents are automatically ineligible for commissioning programs. Depending on the commissioning program, applicants may also be ineligible if married. Finally, applicants must pass a moral character evaluation.

This section of the report examines how moral character evaluations are made. Throughout this report, references are made to Service-specific forms used to provide information which may contribute to a moral character determination. Copies of the forms appear as appendixes to the report.

In some instances, applicants can request that an exception (called a waiver) be granted if they fail to meet a minimum moral character standard. For example, the Services are fairly liberal in granting moral character waivers for applicants who admit to having committed a limited number of traffic violations. On the other hand, moral character waivers are rarely, if ever, granted to applicants discovered to have committed a felony.

## Academies<sup>1</sup>

Army. The U. S. Military Academy evaluates the moral character of its officer applicants in several ways. First, four high school officials complete a character reference on the applicant (i.e., School Official's Evaluation of Candidate, USMA Form 21-16) in which they rate the applicant on 15 behaviors. Examples include "Show self control and perform well, even under pressure," and "Set an example of good conduct for other students." The school officials are also asked to provide a written summary of the candidate.

The applicant completes an application form entitled, Candidate Personal Data Record (USMA Form 21-25) which asks for a listing of any past criminal activity. The Academy may conduct a law enforcement inquiry to pursue additional information about crimes a candidate lists.

Most applicants are interviewed by a Liaison Officer (LO). LOs are Army officers located throughout the country who have been trained by West Point admissions staff to conduct interviews. The LO summarizes the results of the interview (USMA Form 21-8) and sends the summary to the Academy to be included as part of the application package reviewed by the admissions committee. LOs have notified the Academy when, on occasion, they learned of derogatory behavior committed by an applicant during the interval when the applicant was accepted but not yet entered into the Academy.

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<sup>1</sup> Personnel responsible for the admission and conduct of students at all three Academies were asked to describe their personnel security prescreening practices. The Naval Academy could not respond to our invitation and thus this report pertains just to West Point and the Air Force Academy.

West Point is unique among the commissioning sources in that applicants are not asked about their prior history of drug use. However, as is true for all commissioning sources, the Military Academy tested its entering Freshmen this year for drug and alcohol use. None of this year's 1,319 entrants tested positive for either drugs or alcohol.

Air Force. The procedures used by the Air Force Academy to make moral character determinations are generally similar to those used at West Point. Applicants indicate previous criminal behavior when they complete the Air Force Academy Candidate Personal Data Record (AFA Form 146). Unlike West Point, however, applicants are also instructed to indicate any prior instances of drug use or alcohol abuse (AF Form 2030). The Air Force Academy does not require that character references be submitted.

Like the Military Academy, the Air Force Academy maintains a network of liaison officers. Should an applicant indicate he or she has committed derogatory behaviors, an interview can be arranged with an Air Force L0 to ascertain the specifics of the case. The L0 completes a report of the interview and forwards it to the Academy. If necessary, the Academy can conduct a local enforcement agency check to corroborate the events surrounding an applicant's past criminal record. Based on conversations with personnel working in admissions and in the Office of Security Investigation, it appears the Academy rarely sees the need to conduct such checks.

This year, the Academy began testing its entering class of freshmen for evidence of recent drug use. Out of approximately 1,500 who were tested, none tested positive for cocaine and just one tested positive for marijuana.

## **Reserve Officers Training Corps**

Army. In preparing this report, the author found no evidence that Army ROTC uses any Service-specific forms to elicit information from applicants in making a moral character determination. Instead, the Professor of Military Science (PMS) examines the applicant's responses on the Personnel Security Questionnaire (DD Form 398-2) which is submitted to request a National Agency Check. The PMS notes any derogatory information listed on the form and follows it up in an interview. The PMS can require a law enforcement inquiry if necessary to corroborate the circumstances surrounding an applicant's involvement with the law.

Criminal offenses resulting in fines of over \$200 require a waiver before the applicant can be accepted. The PMS is the authority for granting waivers. The following were cited as examples of offenses for which waivers are typically sought: traffic tickets, public drunkenness, and shoplifting.

Navy. The Professor of Naval Science (PNS) is responsible for selecting and screening non-scholarship applicants.<sup>2</sup> The PNS also has the authority to rule on waivers. Similar to Army ROTC, the primary form the PNS uses to determine past transgressions is the Personnel Security Questionnaire (DD Form 398-2). Applicants who indicate previous derogatory acts are questioned about the incident by the PNS before a selection decision is made. The PNS interviewed in this study indicated that it was

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<sup>2</sup>The practices and criteria followed to screen applicants for most of the Navy's ROTC scholarship programs are the same practices and criteria used to screen applicants to the Navy's OCS program. Rather than present this information twice, their screening is described later as part of the Navy's OCS selection program.



extremely rare in his experience for individuals to indicate prior derogatory behaviors.

Air Force. Applicants to Air Force ROTC complete a variety of Air Force forms which ask questions pertaining to their past history of derogatory behavior. A form entitled, Certification of Involvement with Civil, Military or School Authorities/Law Enforcement Officials (AFROTC Form 35) asks the applicant to describe any involvement with law officials or other authorities. Applicants also complete the USAF Drug and Alcohol Abuse Certificate (AF Form 2030) to describe any past instances of drug use. Applicants are interviewed, generally by the unit commander, about instances of past derogatory behavior. Should the event involve a criminal offense, information to corroborate the event will be requested from the appropriate enforcement agency.

The unit commander can issue waivers only if the event involved very infrequent use of marijuana or the commission of a few minor traffic violations. Anything of a more serious nature requires that a waiver be obtained from the Commandant AFROTC.

When evaluating a moral waiver request, the Commandant takes into account the job the ROTC applicant seeks. Individuals seeking to be a pilot or navigator have the least chance of being granted waivers. The Commandant can afford to set rigorous standards for these jobs because they tend to attract the most applicants. ROTC personnel interviewed for this report indicated that applicants wishing to become rated officers were rarely granted a moral waiver if they admitted to having smoked marijuana as few as

three times. However, applicants indicating a desire for nonrated positions in the Air Force have a better chance of receiving a moral waiver for the same offense.

### **Officer Candidate School/Officer Training School**

Less time to correct errors is available when making selection decisions for OTS/OCS as compared with the Academies and ROTC. Once a decision is made to accept individuals into an Academy or ROTC program, several years are available to observe the students and, if necessary, reconsider the wisdom of the original selection decision. No such extended trial period exists for officer candidates accepted into OTS/OCS.

Officer recruiters are responsible for obtaining the information to make a moral character determination of applicants to OTS/OCS. Table 3 lists typical tasks that recruiters perform regarding moral character determinations. Depending on the Service, the recruiter may perform only a subset of the duties listed in this table. The recruiter does not have responsibility for making moral waiver determinations. Instead, such judgments are made at a higher level in the Service's recruiting command.

Army. The Army accesses relatively few (typically less than 800) officers each year through its OCS program. Of this number, many are from the Army's enlisted ranks. Of those relatively few civilians accessed through OCS, the process starts with a series of aptitude tests. Assuming the applicant attains minimum scores, he or she completes a standard enlistment form (DD Form 1966), and obtains character and employment recommendations.

**Table 3**

**POSSIBLE RECRUITER RESPONSIBILITIES RELATING TO  
THE MORAL CHARACTER EVALUATION OF APPLICANTS TO OTS/OCS**

- 
- o Ensure applicant completes all security-related application forms.
  - o Examine forms for evidence of derogatory behaviors.
  - o Ask applicant to elaborate on derogatory behaviors and record responses.
  - o Request law enforcement checks, character references, employer recommendations, etc.
  - o Advise applicant either to pursue or not pursue application as a result of past derogatory acts.
  - o Initiate NAC.
  - o Submit waiver requests to appropriate authorities.
  - o Forward all pertinent materials to selection boards.
  - o Record and forward any information regarding derogatory behavior committed by applicant after application is submitted.
  - o Receive late documents (after application is submitted) and delay applicant's entry into OTS/OCS if the new information indicates applicant is potential security risk.
- 

Applicants also compose a narrative describing why they wish to become officers.

An application must be approved at several Army levels before it can be accepted. At the Battalion level, a selection panel composed of three officers convenes to evaluate the application. The panel also conducts an interview with the applicant, typically lasting from 15 minutes to an hour. Any derogatory behavior admitted by the applicant on the DD 1966 is pursued at this time. Applications reviewed at Battalion levels across the country

are then sent to Fort Sheridan where the most qualified applicants are selected at the U.S. Army Recruiting Command level. Applicants who are accepted proceed to a Military Entrance Processing (MEPS) and are processed for OCS. It is at this time that the NAC is initiated.

Navy. Applicants to the Navy's ROTC 3 or 4 year scholarship programs and OCS program all follow a similar set of procedures. First, applicants complete a Personnel Security Questionnaire (DD Form 398-2) and an Application for Commission (NAVCRUIT 1100/11). The Navy routinely performs a law enforcement agency check on each town, city, county, and state which the applicant lists on these forms as places of permanent residence, education, employment, or extended vacation. Character references and employment references are also obtained.

Law enforcement inquiries are made using the Police Record Check (DD Form 369). If an offense is uncovered which the applicant had not admitted, the recruiter discusses the event with the applicant and writes a statement describing the offense and the reason for its omission from the original application.

Applicants describe any history of drug use in block 13 of the Application for Commission (NAVCRUIT 1100/11). In addition, all applicants must complete the Drug and Alcohol Abuse Statement of Understanding (OPNAV 5350/1) on which they acknowledge the Navy's policy on drug and alcohol abuse.

Applicants are restricted from acceptance into a nuclear officer program, or fields in support of the Navy nuclear propulsion program, if they have ever been addicted or dependent on any drug or alcohol. Drug waivers can be granted only by the Commander, Navy Recruiting Command (with the concurrence of the Deputy Chief of Naval Operations, Manpower Personnel and Training) and only for experimental use of marijuana. Experimental use is defined as illegal or improper use, not more than a few times, for reasons of curiosity or peer pressure.

For non-nuclear field officer programs, applicants can request waivers for a history of more serious drug use. Waivers can be requested for use of narcotics or other dangerous drugs which occurred more than one year ago. Experimental use of marijuana which occurred more than a year ago does not require a waiver unless civil involvement was associated with the use.

It is the Navy's policy to have two officers (individually or together) interview each applicant. The primary purpose of the interview is to determine whether the applicant possesses the personal characteristics desired in a Naval officer. Prior to the interview, the officers review information concerning the applicant's background, test scores, and physical qualifications.

Once interviews are completed, the officers individually complete their appraisal sheets. If the officers provide ratings that differ by more than four points, then a third interview is conducted (typically by the Navy Recruiting District commanding officer, executive officer, or officer programs officer). The two most closely aligned interview scores are then

used and the most divergent interview disregarded. Applicants who are accepted are instructed to report to the recruiter any arrest, detainment, court hearings, etc. (with the exception of minor traffic violations of \$25 or less fine) that may occur before the programs start.

Air Force. Applicants are encouraged to obtain character references to include in their application. They are also given a variety of forms with questions about past criminal activity and drug use. They complete DD Form 398-2 so that a NAC can be initiated. They complete the USAF Drug and Alcohol Abuse Certificate (AF Form 2030) to indicate use of drugs or abuse of alcohol and the Application for Training Leading to a Commission in the United States Air Force (AF Form 56) which asks questions about criminal history, sexual deviancy, etc.

Applicants who admit to prior criminal involvement sign Police Record Check (DD Form 369) authorizing the appropriate police agency to tell the Air Force if their records contain any information about the applicant. If an affirmative response is received from the enforcement agency, the recruiter follows up with Request for Evaluation and Information (ATC Form 1419) which asks for more detailed information. The Air Force recruiters interviewed for this report indicated that they typically received good cooperation from police agencies. On rare occasions, the law enforcement agency will not release information because the records had been sealed. In those cases, the Air Force recruiter relies on the applicant's handwritten statement regarding the circumstances.

All applicants are interviewed twice. The recruiter conducts the initial interview to obtain information to complete the candidate's application. Prior to submission of the application to the Headquarters USAF Recruiting Service, the candidate is interviewed by a high ranking member of the recruiting unit who assesses the candidate's motivation, appearance, leadership potential, etc. Individuals applying for flying duty who admit to preservice experimentation with marijuana may request a waiver from the Commander, USAF Recruiting Service.

Applicants are tested for drugs and alcohol as part of the physical they must complete before entering OTS. In addition, immediately prior to the oath of enlistment to attend OTS, applicants must recertify that the information they provided in their application was complete and accurate. Entrants are warned that falsification of information could subject them to a maximum penalty of 5 years in jail and a \$15,000 penalty.

#### **Platoon Leaders Class/Officer Candidate Class**

Marine Corps recruiters are responsible for screening applicants to programs such as Platoon Leaders Class and Officer Candidate Class. All applicants are interviewed regarding any past use of drugs or criminal activity. The use of any illegal drugs requires that a waiver be granted before the applicant can be accepted. Applicants submit a form entitled, Drug Statement For OC/PLC Application, which asks for detailed information regarding past use of drugs. They complete similar forms to detail events surrounding the commission of minor traffic violations and more serious criminal offenses.

Moral waivers are determined at the level of Marine Corps headquarters. It is the Marine Corps' policy that waivers be granted only for experimental use of marijuana. Experimental use is defined as use of marijuana up to 10 times. Furthermore, the last use of marijuana cannot have occurred within the 6 months prior to the time the application is submitted.

The Marine Corps routinely performs a law enforcement agency check (DD Form 369) of the city in which the applicant currently resides and of previous residences if the individual is relatively new to his or her current city. In addition to the local enforcement check, each applicant submits five letters of recommendation, completed using NAVMC Form 10064.

Applicants receive a physical at a MEPS and, as of June 1988, are tested for drugs and alcohol. The doctors at the MEPS routinely ask questions of the applicants about their previous history of drug use. The recruiter interviewed for the report indicated that sometimes the applicant will admit to drug use when questioned by the doctors. In those cases, the doctor notifies the recruiter, who discusses the matter with the applicant. The recruiter then includes the information along with the rest of the application.

It was the recruiter's experience that those applicants who admit to limited past use of marijuana (10 times or less) are generally accepted, assuming the rest of their record is positive. However, admission of having tried more powerful drugs (e.g., cocaine), even once, generally precludes the individual from service.



Waivers must be obtained for a single traffic ticket resulting in a fine of over \$50 or three tickets of any amount. The recruiter interviewed for this report indicated that none of the applicants he had processed had ever been denied acceptance solely for past commission of minor traffic violations. Driving under the influence (DUIs) and driving while intoxicated (DWIs), however, were treated as more serious arrests.

## **EVALUATING CONDUCT OF CANDIDATES WHILE IN A COMMISSIONING PROGRAM**

Military personnel working at the Academies and at ROTC have several years in which to observe their students and to identify and remove any who exhibit behaviors which suggest they are unsuited to serve as military officers. One method for identifying such behaviors is by use of an honor code. The U. S. Military Academy teaches all entering freshmen the purpose behind the honor code and the mechanics of how to obey it. About 15 to 20 cadets a year, out of more than 4,000, leave West Point on honor violations. At the Air Force Academy, all freshmen take a course covering values and responsibilities associated with serving one's country in the capacity as military leaders. This class also includes an examination of the Academy's honor code and the philosophy behind it. On average, about 36 cadets each year are dismissed from the Air Force Academy as a result of honor code violations.

As at the Academies, ROTC students must take an oath to follow the Service's honor code. However, the honor code appears to be given less emphasis than at the Academies. ROTC students are given specific instructions regarding what behaviors to report to the ROTC commanders. In Army ROTC, for example, officer candidates are instructed to report any criminal involvements that result in fines of over \$200.

It is Air Force ROTC policy that cadets report to the unit commander any arrests, detainment, or convictions by civil or military officials, within 72 hours following the event. In addition, at the beginning of each semester, all Air Force ROTC cadets meet with the unit commander to review their progress and future plans. As part of each counseling session, cadets

use AFROTC Form 35 to certify that they have reported all instances of derogatory behavior to the unit commander.

When a student's initial job requires SCI access, a prenomination interview is conducted prior to submission of the request for the background investigation. The requirement to conduct prenomination interviews for SCI access is listed within DoD Personnel Security Policy (DoD 5200.2-R). The purpose of the interview is to eliminate the obviously unsuitable candidates from consideration for access to SCI information and keep requests for DIS investigations to a minimum.<sup>3</sup> Prenomination interviews are not conducted for students assigned to jobs requiring a TS clearance.

The specifics regarding how to conduct the prenomination interview, including the questions to ask, are determined by each Service and appear in Service-specific regulations (i.e., OPNAVINST 5510.1 for the Navy and Marine Corps, AR 604-5 for the Army, AFR 205-32 for the Air Force). The regulations caution the interviewer to ask only questions that are relevant to a security determination. The interviewer reviews locally available information (e.g., DD Form 398, personnel records, security file, medical records) before the interview is conducted. During the interview, the official asks the individual to expand on any derogatory behaviors or discrepancies that are uncovered. Factors which would normally preclude the interviewing official from processing the request for a high level clearance include a serious criminal record, excessive debt, mental illness, drug or alcohol abuse, or marriage to a foreign national.

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<sup>3</sup> Prenomination interviews are required for all military personnel assigned to jobs needing SCI access, not just military officer candidates.

Prenomination interviews are conducted by the unit commanders at ROTC programs . The commanders indicated that they were well acquainted with the students by the time a prenomination interview was needed and therefore devoted most of the interview to reviewing entries on the DD 398 in light of their knowledge of the students. Personnel in the security office of the Academies conduct the prenomination interviews for Academy students. The student's military and medical records are reviewed at this time and Academy security police are questioned for any involvement they may have had with the officer candidate.

Prenomination interviews are rarely conducted for applicants to OCS/OTS. In the Navy, an officer recruiter conducts the interview for the occasional applicant accepted into OCS who has a training slot reserved in military intelligence and cryptology. The Army and the Marine Corps cannot determine, at such an early date, which applicants accepted into their commissioning programs will need SCI access. Prenomination interviews are, therefore, not conducted until after the officer candidate is commissioned. In the Army, the organization which gains the newly commissioned officer typically conducts the prenomination interview. In the Marine Corps, The Basic School (TBS) typically conducts it.

## OFFICER ATTRITION

### Reasons for Officer Separations

Automated records of military personnel maintained by the Defense Manpower Data Center were analyzed to understand the reasons for officer attrition. When an officer leaves the Service, the reason for the separation is recorded by assigning one of approximately 50 interservice separation codes (ISCs) to the individual's record.

Interservice separation codes are grouped into eight broad categories. Table 4 shows the frequency of officer separation by these eight groups. Anyone who became an officer (excluding warrant officers) from FY 1975 through 1986, and had been separated as of FY 1988, is included in Table 4. The first column of figures shows the number of officers who separated within each category of separation codes. The next column answers the question, "Out of all officers who separated for any category of reasons, what proportion were separated due to this particular category?".

The first category of ISC codes, Release From Active Service, was the most frequently cited category of officer separations. Across all Services, 84 percent of separations were due to Release From Active Service. This category is generally considered a positive reason for separation and includes officers who separated when their term of service ended.

The next most frequently cited category of reasons for separation was Failure to Meet Minimum Behavioral and Performance Criteria. Nine percent of all officer separations were of this type. These include officers who

Table 4

CATEGORIES OF CODES USED TO RECORD OFFICER SEPARATIONS FOR FY 1975 THROUGH FY 1986 ENTRY COHORTS  
(As of August 1988)

| ISC<br>Code | Description   | Army  |    | Navy  |    | Air Force |    | Marine Corps |    | DOO    |    |
|-------------|---|-------|----|-------|----|-----------|----|--------------|----|--------|----|
|             |   | N     | %  | N     | %  | N         | %  | N            | %  | N      | %  |
| 001-009     | Release From Active Service                                 | 34654 | 84 | 24489 | 84 | 26262     | 81 | 9454         | 91 | 94859  | 84 |
| 010-017     | Medical Disqualifications                                   | 1138  | 3  | 614   | 2  | 966       | 3  | 231          | 2  | 2949   | 3  |
| 022         | Dependency or Hardship                                      | 171   | 0  | 13    | 0  | 64        | 0  | 4            | 0  | 252    | 0  |
| 031-033     | Death   | 309   | 1  | 376   | 1  | 466       | 1  | 164          | 2  | 1315   | 1  |
| 050-053     | Retirement  | 323   | 1  | 628   | 2  | 604       | 2  | 131          | 1  | 1686   | 1  |
| 060-085     | Failure to Meet Minimum Behavioral and Performance Criteria | 4345  | 10 | 2125  | 7  | 3170      | 10 | 399          | 4  | 10039  | 9  |
| 090-099     | Other Separations or Discharges                             | 534   | 1  | 799   | 3  | 758       | 2  | 58           | 1  | 2149   | 2  |
| 100-105     | Transactions  | 54    | 0  | 0     |    | 51        | 0  | 2            | 0  | 107    | 0  |
| TOTAL       |   | 41528 |    | 29044 |    | 32341     |    | 10443        |    | 113356 |    |

NOTE: Within ISC codes 001-009, the principle reason for separation across Services was Expiration of Term of Service (ISC code 001). The small numbers of separations within codes 050-053 reflects the fact that these codes are generally reserved for officers who separated following many years of service. Most of the officers cohorts used in these calculations were too recent for separations from them to be recorded within these categories.

failed their job training courses, were passed over for promotion, performed their job inadequately, or engaged in other forms of unacceptable conduct.

The remaining categories of ISC codes were used relatively infrequently for recording officer separations. Three percent of all separations were recorded as Medical Disqualifications, 2 percent as Separations or Discharges (e.g., marriage, pregnancy, conscientious objector, parenthood), and 1 percent or less for each category of Dependency or Hardship, Death, Retirement, or Transaction (e.g., the officer was removed from the Service after being missing in action for an extended period of time).

What is significant, for purposes of this report, is the proportion of separations due to Failure to Meet Minimum Behavioral and Performance Criteria. Table 5 lists the 21 specific ISC codes which make up this separation category. It can be seen that it contains a variety of performance and conduct problems. However, most separations occurred within just 4 specific codes: Substandard Performance of Duty (ISC code 61), Failure of Course of Instruction (ISC code 63), Failure of Selection for Promotion (ISC code 79), and Unfitness or Unacceptable Conduct (ISC code 81).

Of these four, the single most frequent reason recorded for separation was Failure of Selection for Promotion. Across the four Services, just over half of all officer separations, within this general category, were the result of Failure of Selection for Promotion (i.e., 5,244 out of 10,039 officers).

To clarify the meaning of this specific code, an analysis was performed identifying the pay grade held by these officers when they separated. The results are shown in Table 6. It can be seen that the bulk of the 5,244 officers were separated at pay grades 01 and 02. Based on our discussions with individuals at DMDC, it appears that promotion of officers from these paygrades into the next level tends to be automatic unless the officer's performance or conduct is seriously substandard. Thus, most of these officers were probably not separated simply because they were somewhat less capable than their peers. Instead, they were separated because of more serious performance or behavioral problems.

Table 5

OFFICERS WITH RECORDED SEPARATION CODES INDICATING FAILURE TO MEET MINIMAL  
BEHAVIORAL AND PERFORMANCE CRITERIA FOR  
FY 1975 THROUGH FY 1986 ENTRY COHORTS  
(As of August 1988)

|  | Army | Navy | Air<br>Force | Marine<br>Corps | DOD   |
|--|------|------|--------------|-----------------|-------|
|  | N    | N    | N            | N               | N     |
| ISC Code Description                                 |      |      |              |                 |       |
| 60 Character or Behavior Disorder                    | 0    | 14   | 19           | 0               | 33    |
| 61 Substandard Performance of Duty                   | 311  | 92   | 445          | 36              | 884   |
| 63 Failure of Course of Instruction                  | 541  | 498  | 25           | 65              | 1129  |
| 64 Alcoholism  | 0    | 3    | 0            | 0               | 3     |
| 65 Discreditable Incidents -<br>Civilian or Military | 0    | 1    | 0            | 0               | 1     |
| 67 Drugs   | 0    | 139  | 30           | 6               | 175   |
| 68 Financial Irresponsibility                        | 0    | 2    | 29           | 0               | 31    |
| 71 Civil Court Conviction                            | 0    | 3    | 0            | 0               | 3     |
| 72 Security  | 17   | 0    | 0            | 0               | 17    |
| 73 Court Martial                                     | 37   | 0    | 93           | 10              | 140   |
| 74 Fraudulent Entry                                  | 0    | 6    | 0            | 0               | 6     |
| 76 Homosexuality                                     | 22   | 63   | 92           | 3               | 180   |
| 77 Sexual Perversion                                 | 0    | 5    | 16           | 1               | 22    |
| 78 Good of the Service                               | 7    | 0    | 2            | 0               | 9     |
| 79 Failure of Selection for Promotion                | 2153 | 1196 | 1694         | 201             | 5244  |
| 80 Unsuitability                                     | 0    | 4    | 3            | 3               | 10    |
| 81 Unfitness or Unacceptable Conduct                 | 897  | 47   | 716          | 74              | 1734  |
| 82 Unknown   | 1    | 0    | 2            | 0               | 3     |
| 83 Pattern of Minor Disciplinary<br>Infractions      | 0    | 1    | 0            | 0               | 1     |
| 84 Commission of a Serious Offense                   | 0    | 51   | 0            | 0               | 51    |
| 85 Failure to Meet Minimum<br>Retention Requirements | 359  | 0    | 4            | 0               | 363   |
| TOTAL  | 4345 | 2125 | 3170         | 399             | 10039 |



**Table 6**

**OFFICERS SEPARATION DUE TO FAILURE OF SELECTION FOR PROMOTION  
BY PAYGRADE FOR FY 1975 THROUGH FY 1986 ENTRY COHORTS  
(As of August 1988)**

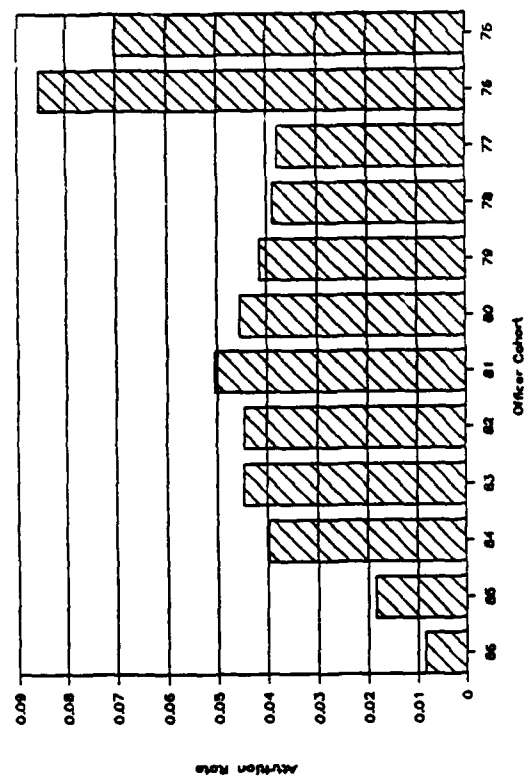
| Pay Grade | Army | Navy | Air<br>Force | Marine<br>Corps | DOD  |
|-----------|------|------|--------------|-----------------|------|
| 01        | 1698 | 977  | 1449         | 197             | 4321 |
| 02        | 185  | 51   | 122          | 2               | 360  |
| 03        | 227  | 91   | 110          | 1               | 429  |
| 04        | 43   | 49   | 13           | 1               | 106  |
| 05        | 0    | 18   | 0            | 0               | 18   |
| 06        | 0    | 10   | 0            | 0               | 10   |
| Total     | 2153 | 1196 | 1604         | 201             | 5244 |

Figure 1 shows the percentage of officers from their cohort who have, so far, been separated due to Failure to Meet Minimum Behavioral or Performance Criteria. A separate bar chart is shown for each service. These percentages were calculated as of FY 1988. In general, the Army separated a larger percentage of its officers for these reasons than did the other Services. Of all the cohorts shown on Figure 1, the Army's 1976 cohort has, so far, separated the greatest percentage due to a behavior or performance problem reason. Just under 9 percent of this cohort has been separated as a behavior/performance problem. The Marine Corps appears to separate the fewest officers due to these reasons. None of the Marine Corps cohorts shown has, so far, lost more than 3 percent of its officers as performance or behavioral problems.

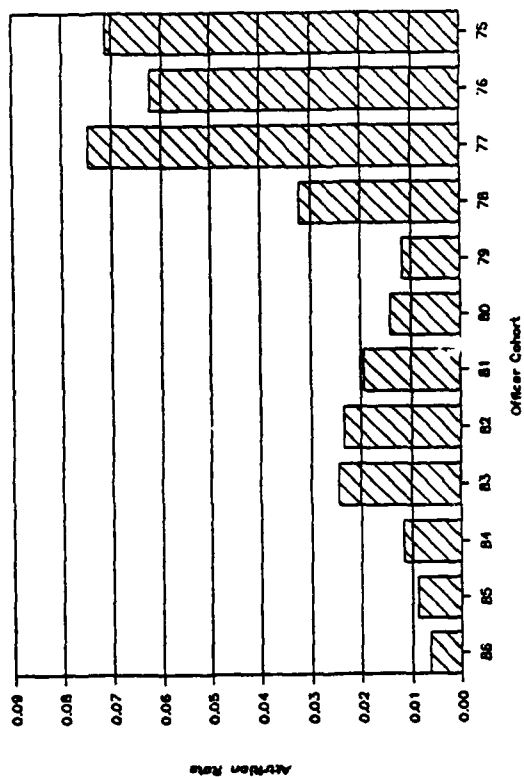
# OFFICER COHORT ATTRITION DUE TO FAILURE TO MEET MINIMUM BEHAVIORAL AND PERFORMANCE CRITERIA

(as of August 1988)

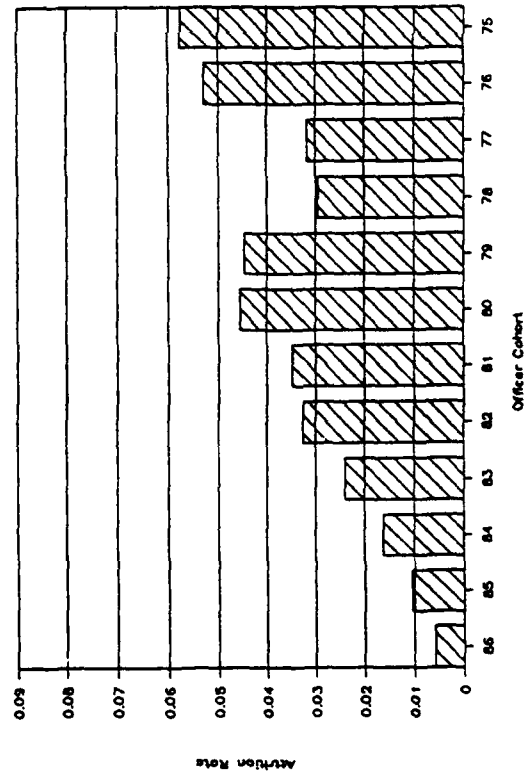
## ARMY



## NAVY



## AIR FORCE



## MARINE CORPS

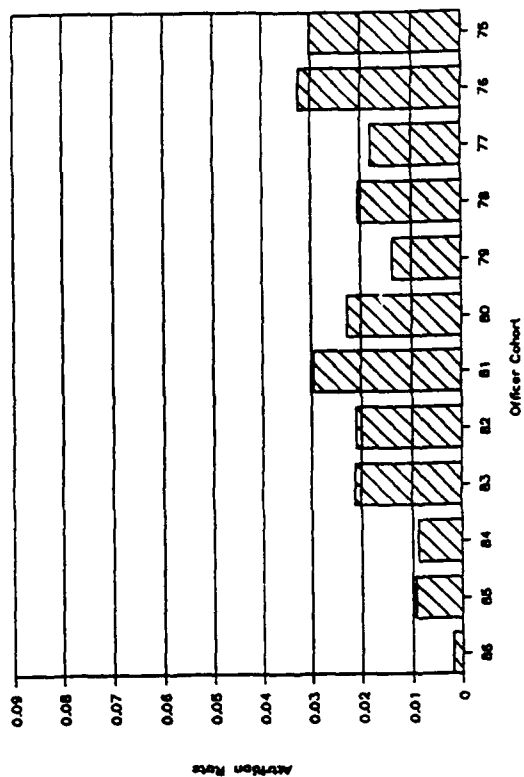


FIGURE 1

A similar pattern appears across all four bar charts in Figure 1. The cohorts which have lost the greatest percentage due to behavioral or performance problems are those containing officers commissioned in the early 1980s (i.e., the FY 1980, FY 1981, and FY 1982 cohorts) and those containing officers commissioned in FY 1975 and FY 1976.

It is not clear why the officers commissioned in FY 1980 through FY 1982 have had a slightly higher incidence of unsuitability attrition than those commissioned one or two years before. In any event the differences in cohort attrition for the late 1970 and early 1980 cohorts is quite small (i.e., generally less than one and one-half a percent of the cohort).

In large part, the relatively high rates of "unsuitability attrition" for the FY 1975 through FY 1977 cohorts in several of the Services may reflect the fact that these cohorts contain officers in the 03 grades who have just recently come "on zone" for promotion to the 04 grade. Thus, those who failed to make 04 and were separated, appear in Figure 1 along with the rest of their cohort who were separated at an earlier point for the more serious reasons comprising the general category of Failure to meet Minimum Behavioral and Performance Criteria.

In summary, Figure 1 appears to show that the incidence of unsuitability attrition is relatively high during the initial period of obligation. Then, the incidence of unsuitability attrition declines until about the tenth year of Service. At this point, the incidence of unsuitability attrition increases, however, much of the increase is due to members of the

cohort coming on zone for promotion to the grade of O4 and being separated as the result of this process.

### **Officer Attrition as a Function of Military Job**

Table 7 shows the distribution of active duty officers as of September 1988 (excluding warrant officers) by several broad categories of officer occupations. The first column, within each Service, shows the number of active duty officers currently assigned to an occupational category. The second column of numbers indicates the proportion of officers in each category who, at some point in their careers, received a background investigation. Job titles are displayed in bold type and marked by an asterisk where at least 90 percent of the officers held a high level clearance.

Most officers with jobs in the categories of Military Intelligence (DOD Occupation Codes 3A-3C), Aviation (2A), and Missile Systems (2F) have had a background investigation. Other jobs that contain a high proportion of officers with background investigations include Ordnance Engineer (4E), Safety (4J), Meteorologists (5B), and Social Scientist (5D).

Table 8 displays attrition information as a function of these same categories of officer jobs. For this table, military records were analyzed for officers who entered the Service between FY 1975 and FY 1983 and left within a period of 4 years. Attrition at the 4-year point was chosen so that meaningful comparisons could be made between attrition from jobs where almost all officers held active high level clearances compared to jobs without such high concentrations of clearance holders. DMDC does not update its data base to reflect the movement of officers to jobs where their high

Table 7

Distribution of Active Duty Officers by Two-Digit DOD Occupation Codes  
(As of September 1988)

| DOD<br>Occ<br>Code Description    | ARMY            |                  | NAVY            |                  | AIR FORCE       |                  | MARINE CORPS    |                  | DOD             |                  |
|-----------------------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|
|                                   | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs |
| 2A Fixed Wing & Bomber Pilots*    | 0               |                  | 2395            | 81               | 7351            | 98               | 1181            | 66               | 10927           | 90               |
| 2B Non-Fighter Fixed Wg Pilots    | 0               |                  | 4158            | 86               | 9338            | 60               | 497             | 27               | 13993           | 67               |
| 2C Helicopter Pilots              | 6737            | 49               | 3138            | 55               | 736             | 42               | 2385            | 36               | 12996           | 48               |
| 2D Navigators                     | 0               |                  | 5426            | 89               | 5718            | 90               | 570             | 81               | 11719           | 89               |
| 2E Ground & Naval Arms            | 31319           | 56               | 11284           | 90               | 11              | 91               | 4680            | 56               | 47294           | 64               |
| 2F Missiles Systems               | 657             | 16               | 0               |                  | 2440            | 99               | 0               |                  | 3097            | 82               |
| 2G Operations Staff               | 2250            | 83               | 38              | 87               | 12393           | 84               | 451             | 48               | 15132           | 82               |
| 3A Intelligence-General*          | 4121            | 99               | 1146            | 98               | 2490            | 99               | 264             | 100              | 8021            | 99               |
| 3B Communications*                | 541             | 99               | 621             | 99               | 328             | 99               | 147             | 99               | 1637            | 99               |
| 3C Counter-Intelligence*          | 402             | 100              | 0               |                  | 406             | 99               | 5               | 100              | 813             | 99               |
| 4A Construct Engineer             | 180             | 17               | 1388            | 38               | 1861            | 37               | 0               |                  | 3429            | 36               |
| 4B Elect Engineer                 | 0               |                  | 84              | 85               | 1780            | 53               | 14              | 36               | 1877            | 55               |
| 4C Communication & Radar          | 5054            | 67               | 41              | 98               | 0               |                  | 576             | 93               | 5671            | 69               |
| 4D Aviation Maintenance           | 1               | 100              | 963             | 48               | 4063            | 50               | 169             | 22               | 5196            | 49               |
| 4E Ordnance Engineer              | 940             | 78               | 51              | 78               | 376             | 70               | 27              | 63               | 1394            | 75               |
| 4F Missile Maintenance            | 473             | 47               | 91              | 73               | 310             | 98               | 0               |                  | 874             | 68               |
| 4H Ship Machinery                 | 0               |                  | 286             | 53               | 0               |                  | 0               |                  | 286             | 53               |
| 4J Safety-Ground, Plane, Weap, Nu | 0               |                  | 0               |                  | 100             | 86               | 0               |                  | 100             | 86               |
| 4K Chemical                       | 1579            | 46               | 0               |                  | 0               |                  | 0               |                  | 1579            | 46               |
| 4L Auto Engineer & Maintenance    | 0               |                  | 0               |                  | 0               |                  | 30              | 10               | 30              | 10               |
| 4M Survey & Mapping               | 10              | 100              | 0               |                  | 77              | 86               | 0               |                  | 87              | 87               |
| 4N Other Engineer & Maintenance   | 7               | 100              | 690             | 67               | 4246            | 64               | 0               |                  | 4943            | 64               |
| 5A Physical Scientist             | 20              | 100              | 426             | 91               | 1198            | 65               | 0               |                  | 1644            | 72               |
| 5B Meteorologists*                | 0               |                  | 9               | 78               | 1153            | 91               | 2               | 50               | 1163            | 91               |
| 5D Social Scientist*              | 12              | 100              | 0               |                  | 205             | 97               | 0               |                  | 217             | 97               |
| 5E Behavioral Scientist           | 0               |                  | 690             | 0                | 167             | 30               | 0               |                  | 167             | 30               |
| 5F Lawyers                        | 1725            | 36               | 1200            | 22               | 1307            | 38               | 816             | 50               | 4545            | 34               |
| 5G Clergy                         | 1504            | 20               | 169             | 100              | 753             | 30               | 0               |                  | 3361            | 21               |

(Continued)

Table 7 (Cont.)

Distribution of Active Duty Officers by Two-Digit DOD Occupation Codes  
(As of September 1968)

| DOD<br>Occupation<br>Code Description | Army            |                  | Navy            |                  | Air Force       |                  | Marine Corps    |                  | DOD             |                  |
|---------------------------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|-----------------|------------------|
|                                       | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs | All<br>Officers | %<br>with<br>BIs |
| 5J Math & Statistics                  | 47              | 81               | 0               |                  | 0               |                  | 0               |                  | 47              | 81               |
| 5K Educators                          | 43              | 74               | 0               |                  | 216             | 69               | 0               |                  | 259             | 70               |
| 5M Counselors & Human Relation        | 1               | 0                | 0               |                  | 147             | 38               | 0               |                  | 147             | 38               |
| 6A Doctors                            | 5312            | 7                | 3829            | 7                | 3937            | 9                | 0               |                  | 13078           | 8                |
| 6C Dentists                           | 1617            | 6                | 1667            | 6                | 1509            | 4                | 0               |                  | 4793            | 5                |
| 6E Nurses                             | 4306            | 2                | 2743            | 1                | 4813            | 2                | 0               |                  | 11862           | 2                |
| 6F Nursing Specialists                | 0               |                  | 30              | 13               | 0               |                  | 0               |                  | 30              | 13               |
| 6G Veterinarians                      | 437             | 17               | 0               |                  | 18              | 11               | 0               |                  | 455             | 16               |
| 6H Biomedical & Allied Health         | 1884            | 11               | 135             | 13               | 1760            | 14               | 0               |                  | 3779            | 12               |
| 6I Health Services Admin              | 3284            | 24               | 1673            | 21               | 846             | 38               | 0               |                  | 5803            | 25               |
| 7A Admin-General                      | 1               | 100              | 2932            | 68               | 1670            | 53               | 277             | 78               | 4880            | 63               |
| 7B Training Admin                     | 0               |                  | 0               |                  | 408             | 53               | 0               |                  | 408             | 53               |
| 7C Manpower & Personnel               | 2858            | 56               | 0               |                  | 1728            | 56               | 0               |                  | 4586            | 56               |
| 7D Comptrollers & Fiscal              | 872             | 50               | 254             | 37               | 1312            | 43               | 254             | 24               | 2698            | 43               |
| 7E Data Processing                    | 70              | 89               | 59              | 49               | 4589            | 84               | 193             | 49               | 4911            | 82               |
| 7F Pictorial                          | 0               |                  | 16              | 88               | 81              | 70               | 0               |                  | 97              | 73               |
| 7G Information                        | 14              | 100              | 190             | 79               | 455             | 56               | 60              | 52               | 719             | 62               |
| 7H Police                             | 2181            | 54               | 2               | 100              | 826             | 67               | 95              | 40               | 3104            | 57               |
| 7M Morale & Welfare                   | 88              | 50               | 10              | 90               | 27              | 41               | 6               | 67               | 131             | 52               |
| 8A Logistics-General                  | 682             | 39               | 136             | 52               | 1380            | 85               | 605             | 44               | 2803            | 63               |
| 8B Supply                             | 2559            | 39               | 1859            | 30               | 864             | 55               | 870             | 35               | 6152            | 38               |
| 8C Transportation                     | 4496            | 38               | 29              | 52               | 732             | 49               | 334             | 22               | 5591            | 38               |
| 8D Procurement & Production           | 67              | 79               | 1126            | 71               | 1250            | 53               | 0               | 0                | 2443            | 62               |
| 8E Food Service                       | 122             | 38               | 61              | 51               | 43              | 09               | 7               | 0                | 233             | 35               |
| 8F Exchange & Commissary              | 0               |                  | 87              | 37               | 16              | 19               | 3               | 0                | 106             | 33               |
| 8G Other Print-Supply                 | 0               |                  | 800             | 61               | 293             | 48               | 0               | 0                | 1093            | 58               |
| 9B Students-Law, Med, Pilot           | 1               | 100              | 10017           | 42               | 5898            | 50               | 841             | 02               | 14174           | 32               |
| 9E Other-not any above                | 1               | 100              | 0               |                  | 0               |                  | 1092            | 10               | 1093            | 10               |
| Do Not Know                           | 331             | 82               | 33              | 30               | 2               |                  | 9               | 33               | 375             | 76               |
| Other <sup>a</sup>                    | 407             |                  | 256             |                  | 1826            |                  | 707             |                  | 319             |                  |
| TOTALS                                | 89240           | 0.48             | 62243           | 0.58             | 92916           | 0.62             | 16908           | 0.48             | 261307          | 0.55             |

**Note:** Titles of occupations with an asterisk (and printed in bold type) indicate that at least 90 percent of the officers across the DoD hold a high level clearance.

<sup>a</sup>Officers classified as other represent General, Flag, Executive and Marine Corps colonels who could not be classified by job.

Table 8

Four-Year Officer Attrition by Occupational Category for FY 1975 through FY 1983 Entry Cohorts

| DOD<br>Occ<br>Code Description    | Army    |             |         |             |      | Navy    |             |         |             |    | Air Force |             |         |             |      | Marine Corps |             |         |             |   |
|-----------------------------------|---------|-------------|---------|-------------|------|---------|-------------|---------|-------------|----|-----------|-------------|---------|-------------|------|--------------|-------------|---------|-------------|---|
|                                   | Behave/ |             | Behave/ |             | %    | Behave/ |             | Behave/ |             | %  | Behave/   |             | Behave/ |             | %    | Behave/      |             | Behave/ |             | % |
|                                   | All     | Perform     | All     | Perform     |      | All     | Perform     | All     | Perform     |    | All       | Perform     | All     | Perform     |      | All          | Perform     | All     | Perform     |   |
|                                   | Problem | Separations | Problem | Separations |      | Problem | Separations | Problem | Separations |    | Problem   | Separations | Problem | Separations |      | Problem      | Separations | Problem | Separations |   |
| 2A Fixed Wing & Bomber Pilots*    | 0       | 0           | 0       | 0           | 122  | 0       | 0           | 0       | 0           | 12 | 1331      | 1           | 0       | 454         | 9    | 12           | 1707        | 1       |             |   |
| 2B Non-Fighter Fixed Wg Pilots    | 0       | 6           | 0       | 0           | 711  | 0       | 0           | 16      | 2424        | 1  | 5         | 361         | 1       | 21          | 3502 | 1            |             |         |             |   |
| 2C Helicopter Pilots              | 19      | 983         | 2       | 0           | 96   | 0       | 1           | 140     | 1           | 1  | 924       | 0           | 21      | 2143        | 1    |              |             |         |             |   |
| 2D Navigators                     | 0       | 1           | 0       | 0           | 172  | 0       | 29          | 1233    | 2           | 1  | 294       | 0           | 30      | 1700        | 2    |              |             |         |             |   |
| 2E Ground & Naval Avns            | 434     | 7294        | 6       | 12          | 1458 | 1       | 0           | 7       | 0           | 13 | 3442      | 0           | 459     | 12201       | 4    |              |             |         |             |   |
| 2F Missiles Systems               | 3       | 13          | 23      | 2           | 209  | 1       | 72          | 1041    | 7           | 0  | 2         | 0           | 77      | 1265        | 6    |              |             |         |             |   |
| 2G Operations Staff               | 7       | 389         | 2       | 13          | 2551 | 1       | 30          | 1594    | 2           | 1  | 307       | 0           | 51      | 4841        | 1    |              |             |         |             |   |
| 3A Intelligence-General*          | 29      | 974         | 3       | 0           | 355  | 0       | 11          | 485     | 2           | 0  | 97        | 0           | 40      | 1911        | 2    |              |             |         |             |   |
| 3B Communications*                | 14      | 387         | 4       | 0           | 92   | 0       | 4           | 92      | 4           | 0  | 69        | 0           | 18      | 640         | 3    |              |             |         |             |   |
| 3C Counter-Intelligence*          | 1       | 66          | 2       | 1           | 37   | 3       | 0           | 81      | 0           | 0  | 2         | 0           | 2       | 105         | 1    |              |             |         |             |   |
| 4A Construct Engineer             | 1       | 103         | 1       | 4           | 520  | 1       | 16          | 769     | 2           | 0  | 0         | 0           | 21      | 1392        | 2    |              |             |         |             |   |
| 4B Elect Engineer                 | 6       | 99          | 6       | 5           | 643  | 1       | 7           | 695     | 1           | 0  | 2         | 0           | 18      | 1439        | 1    |              |             |         |             |   |
| 4C Communication & Radar          | 118     | 2191        | 5       | 7           | 721  | 1       | 12          | 365     | 3           | 4  | 614       | 1           | 141     | 3891        | 4    |              |             |         |             |   |
| 4D Aviation Maintenance           | 5       | 92          | 5       | 1           | 706  | 0       | 26          | 1145    | 2           | 0  | 97        | 0           | 32      | 2040        | 2    |              |             |         |             |   |
| 4E Ordnance Engineer              | 13      | 467         | 3       | 1           | 106  | 1       | 10          | 211     | 5           | 0  | 4         | 0           | 24      | 788         | 3    |              |             |         |             |   |
| 4F Missile Maintenance            | 9       | 228         | 4       | 0           | 23   | 0       | 9           | 107     | 8           | 0  | 0         | 0           | 18      | 358         | 5    |              |             |         |             |   |
| 4G Ship Construction              | 0       | 0           | 0       | 2           | 515  | 0       | 0           | 0       | 0           | 0  | 0         | 0           | 2       | 515         | 0    |              |             |         |             |   |
| 4H Ship Machinery                 | 0       | 1           | 0       | 3           | 1284 | 0       | 0           | 1       | 0           | 0  | 0         | 0           | 3       | 1286        | 0    |              |             |         |             |   |
| 4J Safety-Ground, Plane, Weap, Nu | 0       | 0           | 0       | 1           | 200  | 1       | 1           | 52      | 2           | 0  | 0         | 0           | 2       | 252         | 1    |              |             |         |             |   |
| 4K Chemical                       | 19      | 446         | 4       | 0           | 0    | 0       | 0           | 0       | 0           | 0  | 0         | 0           | 19      | 446         | 4    |              |             |         |             |   |
| 4L Auto Engineer & Maintenance    | 0       | 1           | 0       | 0           | 0    | 0       | 0           | 0       | 0           | 0  | 9         | 0           | 0       | 10          | 0    |              |             |         |             |   |
| 4M Survey & Mapping               | 0       | 10          | 0       | 0           | 0    | 0       | 3           | 25      | 12          | 0  | 0         | 0           | 3       | 35          | 9    |              |             |         |             |   |
| 4N Other Engineer & Maintenance   | 35      | 528         | 7       | 1           | 252  | 0       | 13          | 564     | 2           | 0  | 0         | 0           | 49      | 1344        | 4    |              |             |         |             |   |
| 5A Physical Scientist             | 0       | 49          | 0       | 5           | 179  | 3       | 4           | 316     | 1           | 0  | 0         | 0           | 9       | 544         | 2    |              |             |         |             |   |
| 5B Meteorologists*                | 0       | 1           | 0       | 0           | 19   | 0       | 10          | 310     | 3           | 0  | 2         | 0           | 10      | 332         | 3    |              |             |         |             |   |
| 5D Social Scientist*              | 0       | 0           | 0       | 0           | 20   | 0       | 0           | 4       | 0           | 0  | 0         | 0           | 0       | 24          | 0    |              |             |         |             |   |
| 5E Behavioral Scientist           | 1       | 93          | 1       | 1           | 91   | 1       | 1           | 155     | 1           | 0  | 0         | 0           | 3       | 339         | 1    |              |             |         |             |   |
| 5F Lawyers                        | 4       | 1298        | 0       | 0           | 707  | 0       | 7           | 764     | 1           | 2  | 355       | 1           | 13      | 3124        | 0    |              |             |         |             |   |
| 5G Clergy                         | 3       | 285         | 1       | 0           | 193  | 0       | 3           | 122     | 2           | 0  | 0         | 0           | 6       | 600         | 1    |              |             |         |             |   |

(Cont inued)

Table 8 (Cont.)

Four-Year Officer Attrition by Occupational Category for FY 1975 through FY 1983 Entry Cohorts

| 000 | Code Description | Army    |         |         |         |         |         | Navy    |         |         |         |         |         | Air Force |         |         |         |         |         | Marine Corps |         |         |  |  |  | 000 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|     |                  | Behave/ |         |         | Behave/ |         |         | Behave/ |         |         | Behave/ |         |         | Behave/   |         |         | Behave/ |         |         | Behave/      |         |         |  |  |  |     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|     |                  | All     | Perform | Problem | All     | Perform | Problem | All     | Perform | Problem | All     | Perform | Problem | All       | Perform | Problem | All     | Perform | Problem | All          | Perform | Problem |  |  |  |     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 000 |                  |         |         |         |         |         |         |         |         |         |         |         |         |           |         |         |         |         |         |              |         |         |  |  |  |     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Note: Titles of occupations with an asterisk (and printed in bold type) indicate at least 90% of all active duty officers in them hold high level security clearances.

\*Other represent General, Flag, Executive, and Marine Corps colonels who could not be categorized by an occupation.



level clearances are no longer needed. It is therefore difficult to know whether officers still hold active high level clearances when they have served for many years.

In Table 8, officers who attrited were categorized based on their last job on record. The first column within each Service shows the number of officers separated as a Behavioral or Performance Problem. The next column shows the number of officers separated due to any reason, as of 1988. The third column shows the proportion in each occupation separated as a Behavioral or Performance problem. The proportion of officers separated as Behavioral or Performance problems does not appear to vary depending on whether the job requires a high level clearance (i.e., the jobs identified in the previous table with high concentrations of high level clearance holders).

## CONCLUSIONS

A variety of methods including applications, personal interviews, character references, police record checks, and drug and alcohol tests are routinely used by the Military Services to collect information to make a moral character determination about applicants to commissioning programs. Such determinations are made for all officer applicants, regardless of the jobs to which they will be initially assigned.

Evidence of a criminal record and use of illegal drugs appear to be the most common reasons for elimination of applicants who fail the moral character standards. There is inconsistency in how some of the standards are applied across Services and commissioning sources. Admission of smoking marijuana a few times, for example, can either exclude an applicant or be considered relatively unimportant. Cutoffs regarding what is acceptable for minor crimes and admitted use of drugs appear to vary, in part, according to the number of applicants relative to the number of openings.

There is also variation among the Services and commissioning sources in the efforts expended to uncover information relevant in making moral character determinations. For example, the Navy routinely conducts law enforcement inquiries on OCS applicants, while many of the other commissioning programs attempt to obtain this information only if the applicant first admits to having a criminal record.

The criteria the Services use to evaluate the moral character of applicants for commissioning programs overlap with the criteria used to make high level clearance adjudications (i.e., the criteria listed in the DOD 5200.2-R regulations). Therefore, it is likely that a substantial number of applicants who fail the moral character standards would also have trouble obtaining a clearance needed later to work in a high security job.

For Academy and ROTC programs, the moral character screen provides some assurance that the past behavior of their students, will not eventually preclude them from obtaining a high level clearance. However, the information used to make the selection decision is several years out of date when jobs are assigned and a decision to request a background investigation must be made.

Once officer candidates enter a commissioning program, there are additional mechanisms used to identify those who commit behaviors which would make them ineligible for a high level clearance. A national agency check (NAC) is routinely conducted for all entering students. There is also the possibility that derogatory behaviors committed by students will be reported as honor code violations. For officer candidates assigned to a job requiring eligibility for access to SCI, a prenomination interview is also conducted.

It is difficult to gauge how well the Services identify student's behaviors which should preclude them from being processed for a high security clearance. The prenomination interview would appear to be useful because it ensures that someone assumes responsibility for collecting,

consolidating, and evaluating information about an officer candidate just prior to submitting a request for the PSI. It is not known, however, how often this procedure actually results in a decision not to initiate the request. If it is an effective and cost-effective means for identifying individuals who would be ineligible for high level clearances, then it should also be used for students assigned to jobs requiring a TS clearance.

Separation codes examined for officers who entered the Services between the years FY 1975 and FY 1985 and had been separated as of FY 1988 revealed that 9 percent of all officer separations were attributed to the category of Failure to Meet Minimum Behavioral and Performance Criteria. Codes from this category are not considered favorable reasons for separations and reflect failure to complete job training courses, being passed over for promotion due to serious performance or behavioral problems, or engaging in other forms of unacceptable conduct. This study found no evidence that the rate of early attrition for officers separated for unfavorable reasons is different depending on whether the job required a high level security clearance.

While this report did find that a significant number of officers are separated for serious performance and conduct problems, the numbers may actually underestimate the extent to which officers truly leave the Services for commission of discreditable acts. Under-reporting may occur because of a reluctance to label an officer with a less than honorable discharge. In any event, the extent to which such separations represent a national security risk will not be known until the links between specific

behaviors resulting in unsuitability attrition and behaviors defined as damaging to national security are further established.

### **Recommendations**

To reduce the incidence of high level clearance denials, it is recommended that the practice of screening commissioning program applicants against the Service's moral character standards continue. This recommendation is based on the fact that the Service's moral character standards match the criteria that Service adjudicators presently use to grant clearances. To maximize their value as a security prescreen, moral character criteria should be applied (i.e. cutoffs set) at least as stringently as they are applied by Service adjudicators. Should the criteria used by adjudicators change, then the moral character standards should incorporate the changes.

The fact that the moral character determination is outdated by the time most officers are assigned their first job limits its use as a predictor of high level clearance eligibility. Prenomination interviews are used as an additional and more timely high level clearance prescreen for officer candidates needing eligibility for access to SCI. If the cost-effectiveness of their use can be supported, then prenomination interviews should also be used for officers assigned to jobs requiring a TS clearance.

## REFERENCES

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**APPENDIX A**  
**USMA PRESCREENING FORMS**

## SCHOOL OFFICIAL'S EVALUATION OF CANDIDATE

USE NO. 2 PENCIL ONLY

## INSTRUCTIONS FOR THE SCHOOL OFFICIAL

- PLEASE EVALUATE THE CANDIDATE USING THE FOLLOWING STATEMENTS
- MAKE ONLY ONE RESPONSE FOR EACH STATEMENT
- RATE THE STATEMENTS ON HOW THEY DESCRIBE THE CANDIDATE IN RELATION TO OTHER STUDENTS
- SUBMISSION IS VOLUNTARY
- DO NOT STAPLE THIS FORM

CANDIDATE'S LAST NAME

FIRST NAME

MI

SOCIAL SECURITY

## INSTRUCTIONS TO CANDIDATE:

- FILL IN YOUR NAME
- FILL IN YOUR SOCIAL SECURITY NUMBER
- AFTER FILLING IN THE INFORMATION GIVE THIS FORM TO THE INSTRUCTORS SPECIFIED IN INSTRUCTIONS FOR APPLICANTS.
- DO NOT STAPLE THIS FORM!

THIS CANDIDATE HAS DEMONSTRATED AN ABILITY TO:

- |  | TOP 1% | TOP 10% | ABOVE AVERAGE | AVERAGE | BELOW AVERAGE | NOT OBSERVED |
|--|--------|---------|---------------|---------|---------------|--------------|
| 1. Make friends easily   | 1      | 2       | 3             | 4       | 5             | 6            |
| 2. Show interest and concern for the welfare of others                         | 1      | 2       | 3             | 4       | 5             | 6            |
| 3. Influence other students to work together                                   | 1      | 2       | 3             | 4       | 5             | 6            |
| 4. Communicate effectively in face to face discussion                          | 1      | 2       | 3             | 4       | 5             | 6            |
| 5. Communicate effectively in written work                                     | 1      | 2       | 3             | 4       | 5             | 6            |
| 6. Set an example of good conduct for other students                           | 1      | 2       | 3             | 4       | 5             | 6            |
| 7. Exert maximum effort, showing a strong desire to achieve in every field     | 1      | 2       | 3             | 4       | 5             | 6            |
| 8. Show self control and perform well even under pressure                      | 1      | 2       | 3             | 4       | 5             | 6            |
| 9. Adjust to a demanding schedule of activities without neglecting school work | 1      | 2       | 3             | 4       | 5             | 6            |
| 10. Set high standards for own performance in a number of areas of activity    | 1      | 2       | 3             | 4       | 5             | 6            |
| FOLD   |        |         |               |         |               |              |
| 11. Seek academic challenge beyond that required by normal coursework          | 1      | 2       | 3             | 4       | 5             | 6            |
| 12. Accept criticism and make improvements from it                             | 1      | 2       | 3             | 4       | 5             | 6            |
| 13. Accept full responsibility for personal shortcomings                       | 1      | 2       | 3             | 4       | 5             | 6            |
| 14. Teach practical skills to others   | 1      | 2       | 3             | 4       | 5             | 6            |
| 15. Correct others who make mistakes in firm but supportive manner             | 1      | 2       | 3             | 4       | 5             | 6            |

## SCHOOL OFFICIAL:

You have the right to request confidentiality as a condition for providing information about this candidate. Otherwise your identity will be disclosed at the candidate's request. Do you stipulate confidentiality?

YES

NO

## HOW WELL DO YOU KNOW THE CANDIDATE?

VERY WELL EXAMPLE: SEVERAL YEARS

☐

FAIRLY WELL EXAMPLE: MORE THAN ONE SEMESTER

☐

NOT VERY WELL EXAMPLE: LESS THAN ONE SEMESTER

☐

## EVALUATOR'S POSITION

ENGLISH INSTRUCTOR

☐

GUIDANCE COUNSELOR

☐

MATH INSTRUCTOR

☐

COACH-PE INSTRUCTOR

☐

PHYSICS INSTRUCTOR

☐

OTHER

☐

Please tell us how you feel this candidate will perform at the college level in your area. If you need more space, use another sheet of paper. Thank you for your time, concern and cooperation.



| CANDIDATE PERSONAL DATA RECORD  |  | SCHOOL DATA  |  |
|---|--|--|--|
| <p>1. PRINT YOUR FULL NAME LEGITIMATELY AS IT IS SHOWN ON YOUR BIRTH CERTIFICATE OR AS SHOWN IN ANY DOCUMENT WHICH LEGALLY CHANGED YOUR NAME</p> <p>NAME _____</p>  |  |  |  |
| <p>HAVE YOU PREVIOUSLY ATTENDED OR ARE YOU NOW ATTENDING THE AIR FORCE, THE NAVAL OR MILITARY ACADEMY PREPARATORY SCHOOL</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>IF YES WHICH ACADEMY</p> <p><input type="radio"/> USMA PREP <input type="radio"/> USNA PREP <input type="radio"/> USMA PREP <input type="radio"/> USMA PREP</p> <p><input type="radio"/> CURRENTLY ATTENDING <input type="radio"/> COMPLETED</p> <p>IF YOU DID NOT COMPLETE, PLEASE EXPLAIN IN REMARKS SECTION (BLOCK 10)</p>                                   |  |  |  |
| <p>2. HAVE YOU EVER BEEN PLACED ON PROBATION OR EXPELLED FROM COLLEGE OR A CIVILIAN PREPARATORY SCHOOL?</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>IF YES, GIVE NAME OF SCHOOL, DATE AND REASON IN REMARKS SECTION (BLOCK 10)</p>   |  |  |  |
| <p>MILITARY SERVICE ACTIVE DUTY</p> <p>1. HAVE YOU EVER SERVED TOURS OF EXTENDED ACTIVE DUTY, DRAWING FULL PAY, FROM WHICH YOU WERE DISCHARGED OR SEPARATED TO CIVILIAN STATUS?</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>2. ARE YOU NOW ON ACTIVE DUTY IN THE U.S. ARMED FORCES DRAWING FULL PAY?</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>IF YES IN 1 OR 2 ABOVE, FILL IN THE CHECKED BOXES BELOW</p>  |  | <p>ORGANIZATION AND LOCATION</p> <p>BRANCH/NAME _____</p> <p>DATE OF ACTIVE DUTY TO _____</p> <p>DATE AND TYPE OF DISCHARGE OR SEPARATION _____</p> <p>ARE YOU CURRENTLY A MEMBER OF A U.S. RESERVE OR NATIONAL GUARD ORGANIZATION?</p> <p>IF YES, COMPLETE THE FOLLOWING</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>NAME _____</p> <p>DATE WHEN STARTED _____</p> |  |
| <p>3. HAVE YOU EVER BEEN REJECTED FOR ANY BRANCH OF MILITARY SERVICE OR ROTC?</p> <p>IF YES, REASON REJECTED IN THE CHECKED BOXES BELOW</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>4. HAVE YOU EVER BEEN A FAULTY ENTHUSIAST AT ANY OF THE U.S. SERVICE ACADEMIES?</p> <p>IF YES, CHECK IN BOXES</p> <p>YES <input type="radio"/> NO <input type="radio"/></p>  |  | <p>5. HAVE YOU EVER BEEN A FAULTY ENTHUSIAST AT ANY OF THE U.S. SERVICE ACADEMIES?</p> <p>IF YES, CHECK IN BOXES</p> <p>YES <input type="radio"/> NO <input type="radio"/></p>   |  |
| <p>6. HAVE YOU EITHER A CHAIRMAN OF ANY U.S. SERVICE ACADEMY?</p> <p>IF YES, WHICH ACADEMY AND CLASS YEAR OF GRADUATION</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>7. HAVE YOU REQUESTED A LETTER OF RECOMMENDATION FOR A SERVICE ACADEMY?</p> <p>IF YES, WHICH ACADEMY?</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> <p>8. DO YOU HAVE A LETTER OF RECOMMENDATION FROM A SERVICE ACADEMY?</p> <p>IF YES, WHICH ACADEMY AND CLASS YEAR OF GRADUATION</p> <p>YES <input type="radio"/> NO <input type="radio"/></p> |  | <p>9. DO YOU HAVE A LETTER OF RECOMMENDATION FROM A SERVICE ACADEMY?</p> <p>IF YES, WHICH ACADEMY AND CLASS YEAR OF GRADUATION</p> <p>YES <input type="radio"/> NO <input type="radio"/></p>   |  |
| <p>10. REMARKS</p> <p>IF YOU HAVE TYPING OR RECYCLING SKILLS?</p> <p>YES <input type="radio"/> NO <input type="radio"/></p>   |  | <p>11. I certify that the above information is complete and correct to the best of my knowledge. I have no commitments or obligations which would prohibit my serving in an unrestricted military status. I am not married and do not have a legal obligation to support a child or children.</p>  |  |
| <p>SIGNATURE OF CANDIDATE _____</p> <p>DATE _____</p>   |  | <p>SIGNATURE OF CANDIDATE _____</p> <p>DATE _____</p>  |  |

**CANDIDATE PERSONAL DATA RECORD**

(THIS FORM COMES UNDER THE PURVIEW OF THE PRIVACY ACT OF 1974) Title 19 USC 9318 and EO 13527 AUTHORIZES USE of data requested for PURPOSES of evaluation by the Service Academies SSN is required for identification DISCLOSURE IS VOLUNTARY; however, failure to provide information could preclude appointment

1 PRINT NAME (LAST NAME FIRST)

|   |  |                         |
|---|--|-------------------------|
| 2 | PERMANENT ADDRESS (Street City County State and Zip Code)  | PHONE NO                |
| 3 | MAILING ADDRESS (if different than Permanent Address)  | Area Code<br>PHONE NO   |
| 4 | NAME OF<br><input type="radio"/> FATHER<br><input type="radio"/> STEPPATHER<br><input type="radio"/> GUARDIAN<br>5 NAME OF,<br><input type="radio"/> MOTHER<br><input type="radio"/> STEPMOTHER<br>HAVE YOU EVER BEEN ARRESTED, CONVICTED OR FINED FOR ANY VIOLATION OF LAW? | Area Code<br>OCCUPATION |
|   | ADDRESS (if different than Permanent Address)  | OCCUPATION              |

**DO YOU HAVE ANY QUESTIONS CONCERNING THE VIOLATION OF LAW?**

IT HAS GIVEN COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF OCCURRENCE, DATE AND DISPOSITION OF CASE AS INDICATED BY OTHER MEMBERS IN ORDER TO POST A FOLLOWING CHARGE(S) A COMPLETE BACKGROUND INVESTIGATION MUST BE MADE. FILING TO REPORT ANY SUCH ACCIDENT MAY BE GROUNDS FOR DISMISSED

51A  
DN

7. IN YOUR FATHER/STEPFATHER (F/ST) OR MOTHER/STEPMOTHER (M/SM) IS NOW OR EVER HAS BEEN A MEMBER OF THE ARMED FORCES, COMPLETE THE FOLLOWING (Insert year month for this information)

| BRANCH OF SERVICE          |                                   | CURRENT MILITARY STATUS OF PARENT OR PARENTS  |  |   |  | MOTHER'S/STEPMOTHER'S SOCIAL SECURITY NUMBER |  |                            |  |
|----------------------------|-----------------------------------|---|--|---|--|--|--|----------------------------|--|
| <input type="radio"/> 1/51 | <input type="radio"/> M/5M        | ON ACTIVE DUTY  |  | ON ACTIVE DUTY                          |  | MOTHER'S/STEPMOTHER'S SOCIAL SECURITY NUMBER |  |                            |  |
| <input type="radio"/> 1/51 | <input type="radio"/> ARMY        | IF MOTHER IS ON ACTIVE DUTY LINE<br>DECEASED THE APPROPRIATE<br>INDICATE<br>MARRY/DAT |  | IF MOTHER IS ON ACTIVE DUTY<br>DECEASED |  | IF DECEASED WAS IT<br>WHILE ON ACTIVE DUTY   |  |                            |  |
| <input type="radio"/> 1/51 | <input type="radio"/> M/5M        | <input type="radio"/> 1/51  |  | <input type="radio"/> M/5M              |  | <input type="radio"/> 1/51                   |  | <input type="radio"/> M/5M |  |
| <input type="radio"/> 1/51 | <input type="radio"/> NAVY        | <input type="radio"/> 1/51  |  | <input type="radio"/> M/5M              |  | <input type="radio"/> 1/51                   |  | <input type="radio"/> M/5M |  |
| <input type="radio"/> 1/51 | <input type="radio"/> M/5M        | REMAINS ON CURRENT MILITARY STATUS OF PARENT(S) (IF APPLICABLE)                       |  | OR                                      |  | NOT ON ACTIVE DUTY                           |  |                            |  |
| <input type="radio"/> 1/51 | <input type="radio"/> USAP        | <input type="radio"/> 1/51  |  | <input type="radio"/> M/5M              |  | <input type="radio"/> 1/51                   |  | <input type="radio"/> M/5M |  |
| <input type="radio"/> 1/51 | <input type="radio"/> MARINE      | <input type="radio"/> 1/51  |  | <input type="radio"/> M/5M              |  | <input type="radio"/> 1/51                   |  | <input type="radio"/> M/5M |  |
| <input type="radio"/> 1/51 | <input type="radio"/> COAST GUARD | <input type="radio"/> 1/51  |  | <input type="radio"/> M/5M              |  | <input type="radio"/> 1/51                   |  | <input type="radio"/> M/5M |  |

**MAKE NO MARKS BELOW THIS LINE**

1015

[illegible]

| USMA ADMISSIONS INTERVIEW REPORT   |                        | DATE                     |
|--|------------------------|--------------------------|
| NAME OF APPLICANT (last name, first, MI)   | SOCIAL SECURITY NUMBER | CONGRESSIONAL DISTRICT   |
| ADDRESS (Include ZIP code and telephone number)  | CURRENT SCHOOL         | YEAR OF HIGH SCHOOL GRAD |
| <p><b>GUIDE TO INTERVIEWER:</b> (Refer to the Admissions Participant Handbook for specific instructions.) At the beginning of the interview, the candidate must be told that the interview is authorized by Title 10 U. S. Code, paragraph 4346. The purposes of the interview are to provide information to the candidate; to assist the candidate with file completion actions; and to provide information for file evaluation. Disclosure of information is voluntary. If not disclosed, it may prevent the candidate from receiving appropriate advice and special consideration (if due) during file evaluation. <b>DO NOT</b> duplicate reporting of information which is correct on the current Monthly Candidate Referral Report. Instead, emphasize the identification of problem areas which you or an Admissions Officer can assist in resolving. Probe for characteristics of the applicant which might not be properly revealed on the various application forms; such as desire to excel and persevere. Try to get an impression of the applicant's willingness to complete the West Point programs and serve as an Army officer, but do not expect the applicant to be committed to an Army career.</p> <p>The information you provide will be disclosed to the candidate upon his request. Further, your identity as the provider of such information will also be disclosed unless you request confidentiality as a condition for furnishing any information. In such a case your identity will be held in confidence.</p> <p>Do you require confidentiality as a condition for providing information?      <input type="checkbox"/> YES      <input type="checkbox"/> NO</p>   |                        |                          |
| <p><b>1. Academic Data:</b></p> <p>a. Approximate rank in high school class. ....</p> <p>b. SAT: Best Verbal Score ..... ; Best Math Score .....</p> <p>c. ACT: English ..... ; Math ..... ; Social Studies ..... ; Natural Science .....</p> <p>d. SCHEDULED TESTING: ACT (date) ..... ; SAT (date) .....</p> <p>e. If neither SAT nor ACT taken or scheduled, check box to right. <span style="float: right;"><input type="checkbox"/> NO</span></p> <p><b>2. Medical Examination:</b></p> <p>a. Has applicant been notified of medical exam date? <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p>b. If scheduled, did he take the exam on that date? <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p style="padding-left: 20px;">If not, why? .....</p> <p>c. Has applicant received notification from DODMERB to perform any additional medical testing? <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p style="padding-left: 20px;">If yes, summarize status. ....</p> <p>d. If more than six weeks has elapsed since medical was taken has applicant been notified of final medical status by USMA? <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p><b>3. Physical Aptitude Examination (PAE):</b></p> <p>a. Has the applicant been scheduled for a PAE? <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p>b. If the applicant did not take the PAE as scheduled, check box to right and indicate reason. <span style="float: right;"><input type="checkbox"/> NO</span></p> <p style="padding-left: 20px;">.....</p> <p><b>4. Nominations:</b></p> <p>a. Has the applicant been nominated? If yes, by whom. <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p>b. To whom did the applicant apply for nomination? Senator's name .....</p> <p style="padding-left: 20px;">Senator's name ..... Representative's name .....</p> <p style="padding-left: 20px;">Presidential ..... Other (describe) .....</p> <p>c. If the applicant has not applied for any nominations, check box to right and indicate why. <span style="float: right;"><input type="checkbox"/> NO</span></p> <p style="padding-left: 20px;">.....</p> <p><b>5. Is the applicant experiencing any difficulty with the admissions process not described above?</b> <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> <p style="padding-left: 20px;">If yes, describe on reverse.</p> <p><b>6. Is the applicant interested in competing for admission to USMAPS if not selected for USMA?</b> <span style="float: right;"><input type="checkbox"/> YES    <input type="checkbox"/> NO</span></p> |                        |                          |
| FOR USMA OFFICE USE ONLY   |                        |                          |

| AREA TO BE RATED                               | Indicate the appropriate ratings in the right hand column. |   |  |   |   |   | RATING |
|--|--|---|--|---|---|---|--------|
|  | 1  | 2   | 3  | 4   | 5   | 6                                       |        |
| Academic Ability                               | Exceptionally promising.                                   | Fine student. Honors at college.                | Solid average student. Possible honors.    | Capable of passing work.                              | Marginal ability, or questionable motivation. | Poor academic risk.                     |        |
| Extracurricular Activity (other than athletic) | Outstanding leader in "top" activities.                    | Major office holder. Makes a real contribution. | Good citizen, interested and active.       | Fairly active, minor offices and/or minor activities. | Minor participations, no offices.             | No activities.                          |        |
| Athletic Ability                               | Outstanding college varsity prospect                       | Fine high school athlete, varsity letter.       | HS Varsity participation, average ability. | Intramural participation, healthy interest.           | Sports are a pastime.                         | No interest.                            |        |
| Personal Qualities                             | Outstanding person. Tops in all respects.                  | Great appeal. Generally, very strong.           | Good above-average applicant.              | Generally okay. No strengths, no weaknesses.          | Not very appealing. Immature.                 | Poor impression. Unstable or offensive. |        |
| Overall Rating                                 | Tops for admission.  | Clearly admit.                                  | Strong contender.                          | Reasonable possibility for admission.                 | Questionable admission.                       | Not recommended for admission.          |        |

1. Does the applicant understand the purpose of the USMA? ☐ YES ☐ NO
2. Is the applicant familiar with the academic program? ☐ YES ☐ NO
3. Is the applicant familiar with the obligated service after graduation? ☐ YES ☐ NO
4. Is the applicant familiar with the West Point Honor Code and System? ☐ YES ☐ NO
5. Is the applicant familiar with the Fourth Class System? ☐ YES ☐ NO
6. Is the applicant familiar with the stresses of Cadet Basic Training? ☐ YES ☐ NO

**INTERVIEWER'S COMMENTS:**

If work or family problems have affected this applicant's performance, please make special annotation below. Also comment on BEARING and APPEARANCE, PERSONAL MAGNETISM, how applicant became interested in West Point and applicant's reasons for wanting to attend West Point.

NAME AND TITLE (Print or type)

SIGNATURE OF INTERVIEWER

**APPENDIX B**  
**AIR FORCE ACADEMY PRESCREENING FORMS**

# AIR FORCE ACADEMY CANDIDATE PERSONAL DATA RECORD

SIDE 1



- DO NOT USE PEN
- COMPLETELY FILL BUBBLES
- MAKE NO STRAY MARKS
- MAKE CLEAN ERASURES

THIS FORM COMES UNDER THE PURVIEW OF THE PRIVACY ACT OF 1974

CANDIDATE FILES ARE ARRANGED BY SOCIAL SECURITY NUMBER TO INSURE CREATION OF A PROPER FILE FOR YOU. YOU MUST HAVE A SOCIAL SECURITY NUMBER AND IT MUST BE ACCURATE AT ALL TIMES.

## SOCIAL SECURITY NUMBER

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| 3 | 3 | 3 | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| 6 | 6 | 6 | 6 | 6 | 6 | 6 | 6 | 6 | 6 |
| 7 | 7 | 7 | 7 | 7 | 7 | 7 | 7 | 7 | 7 |
| 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 |

1. PLACE NAME AND NUMBER LABEL IN THIS SPACE  
(Do not extend label outside this space)

OR Print Candidate Name

2. MAILING ADDRESS (Street, City, State, & ZIP Code)

AREA CODE

PHONE NO.

3. PERMANENT ADDRESS (if different than Mailing Address)

AREA CODE

PHONE NO.

5. SEX

☐ Female  
☐ Male

6. HEIGHT

In Inches

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |

Feet

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |

DATE OF BIRTH

Year

Month

Day

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |

9. NAME OF:

- ☐ FATHER  
☐ STEPFATHER  
☐ GUARDIAN

ADDRESS (if different than Permanent Address)

OCCUPATION

FOLD WITH DOTTED LINE ON THE OUTSIDE

10. NAME OF:

- ☐ MOTHER  
☐ STEPMOTHER  
☐ GUARDIAN

ADDRESS (if different than Permanent Address)

OCCUPATION

11. HAVE YOU EVER BEEN ARRESTED, CONVICTED, OR FINED FOR ANY VIOLATION OF LAW? IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

☐ YES  
☐ NO

12. PLACE OF BIRTH

REQUIRED

14. ETHNIC BACKGROUND

15. AND YES OR NO

16. BRANCH OF SERVICE

17. ON ACTIVE DUTY

18. NOT ON ACTIVE DUTY

19. IS HE/ SHE DECEASED

20. IF DECEASED WAS IT WHILE ON ACTIVE DUTY

21. IF RETIRED INDICATE RANK GRADE

22. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

23. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

24. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

25. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

26. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

27. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

28. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

29. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

30. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

31. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

32. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

33. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

34. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

35. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

36. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

37. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

38. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

39. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

40. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

41. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

42. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

43. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

44. IF SO WAS IT PRIOR TO YOUR 15th BIRTHDAY?

45. IF YES GIVE COMPLETE DESCRIPTION OF INCIDENT(S) AND IF APPLICABLE STATE NAME AND PLACE OF COURT, NATURE OF OFFENSE, DATE, AND DISPOSITION OF CASE. IF SELECTED AS A CANDIDATE IN order to grant a Security Clearance, a complete background investigation will be made. Failure to report any such incident may be grounds for dismissal.

U.S. GOVERNMENT PRINTING OFFICE: 1962-775-50140001

# **USAF DRUG AND ALCOHOL ABUSE CERTIFICATE**

(THIS FORM IS SUBJECT TO THE PROVISIONS OF 1974 USE BLANKET PAS AF FORMS 11 OR 883)

## **SECTION I**

### **DEFINITION OF TERMS**

**ALCOHOL ABUSE:** Alcohol use confirmed by competent medical authority that the individual is emotionally, mentally, or physically dependent on alcohol. **NOTE:** When not confirmed by medical authority, self-admitted alcohol use that leads to a person's misconduct or unacceptable behavior; to the impairment of work performance, physical or mental health, financial responsibility or personal relationships; must be reported during the medical examination for determination of alcohol abuse.

**DANGEROUS DRUGS:** Those non-narcotic drugs that are habit forming and/or have a potential for abuse because of their stimulant, depressant, or hallucinogenic effect. Includes cocaine, hallucinogens (to include lysergic acid diethylamide (LSD), phenocyclidine (PCP), tetrahydrocannabinol (THC) in non-marijuana form, and others), inhalants (to include paint, glue, thinners, and others), amphetamines (speed) and barbiturates (downers).

**MARIJUANA:** The intoxicating products of the hemp plant, to include hashish and all natural derivatives of cannabis sativa.

**NARCOTIC:** Any opiate or synthetic equivalent. Includes opium, morphine, heroin, codeine, demerol, dilaudid, methadone, percodan, and others.

**DRUG ABUSE:** The illegal, wrongful, or improper use of marijuana, any narcotic substance, hallucinogens, or any dangerous drug. Drugs prescribed by medical personnel and used for medical purposes by the patient to whom prescribed is not drug abuse.

**SUPPLIER OR TRAFFICKER:** One who furnishes illegally, wrongfully, or improperly any of the drugs defined above to another person for profit or personal gain.

## **SECTION II**

### **CERTIFICATION AT TIME OF APPLICATION**

**WARNING:** YOU MUST BE TOTALLY HONEST IN COMPLETING THIS FORM. If you are truthful now and are accepted by the Air Force, no punitive action can or will be taken against a civilian applicant as a result of any information you reveal. HOWEVER, YOU ARE CAUTIONED THAT SHOULD YOU CONCEAL DRUG OR ALCOHOL ABUSE INFORMATION AT THIS TIME, AND IT IS DISCOVERED AFTER YOUR ENTRY INTO THE AIR FORCE, PUNITIVE ACTION MAY BE TAKEN AGAINST YOU BASED UPON THE FALSE INFORMATION YOU HAVE PROVIDED. Such action includes but is not limited to elimination from training or discharge under less than honorable conditions.

INITIAL YES/NO BOXES AS APPLICABLE      YES      NO

I have read and understand the definition of the terms above.

Have you ever used or experimented with marijuana? (A YES response to this question is NOT disqualifying.)

Have you ever experimented with, used, or possessed any dangerous drug or narcotic?

Have you ever been a supplier of or trafficker in marijuana, dangerous drugs or narcotics?

Have you ever been treated or undergone rehabilitation for drug or alcohol abuse?

## **SECTION III**

### **STATEMENTS OF UNDERSTANDING**

INITIALS

During my medical examination I will be tested for drug and alcohol abuse. I understand that any detection of drug use (including marijuana) or alcohol abuse will render me ineligible for the Air Force.

Service in the United States Air Force places me in a position of special trust and responsibility. Drug or alcohol abuse after this date will be considered evidence of my inability to meet the standards of behavior expected of me as a member of the Air Force. Therefore, any drug use (including marijuana) or any alcohol abuse as described above, FROM THIS DATE FORWARD, renders me ineligible for the Air Force.

Drug and alcohol abuse by members of the U.S. Air Force violates Air Force standards of behavior and conduct and will not be tolerated. If I am identified as a drug or alcohol abuser while a member of the Air Force, appropriate disciplinary or administrative action may be taken against me, to include trial by court martial or discharge under less than honorable conditions.

I understand that certain skill areas in the Air Force cannot be performed by persons who have abused drugs or alcohol and my unit commander will have final approval authority regarding my actual assignment to sensitive skill positions. If I am not acceptable for such duties due to information I have revealed on this form, I will be reassigned to another position in my skill or reclassified into another skill. If it is established that I have used any substance beyond that which I have indicated on this form, I understand my enlistment, commissioning, or appointment may be declared fraudulent and I may be discharged.

**KNOWING AND UNDERSTANDING ALL THE INFORMATION ABOVE, AND REALIZING THAT THIS DOCUMENT WILL BE USED ONLY TO DETERMINE MY ELIGIBILITY AND RECORD MY CERTIFICATION OF ELIGIBILITY, I HEREBY STATE THAT THE ABOVE INFORMATION AS TO MY PREVIOUS DRUG OR ALCOHOL INVOLVEMENT IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.**

|  |   |           |
|--|---|-----------|
| DATE   | NAME (Last, First, MI) AND SSN OF APPLICANT | SIGNATURE |
| <b>WITNESS</b>   |   |           |
| I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL. |   |           |
| DATE   | NAME (Last, First, MI) AND GRADE OF WITNESS | SIGNATURE |



|  |   |  |  |                              |  |
|--|---|--|--|------------------------------|--|
| SECTION IV   |   | RECERTIFICATION AT TIME OF ENLISTMENT, COMMISSIONING, OR APPOINTMENT |  | INITIALS                     |  |
| I HAVE READ AND FULLY UNDERSTAND ALL THE INFORMATION ON THIS FORM                                      |   |  |  |                              |  |
| I HEREBY STATE THAT THERE HAS BEEN NO CHANGE IN MY STATUS SINCE I ORIGINALLY PROVIDED THIS INFORMATION |   |  |  | DATE OF ORIGINAL INFORMATION |  |
| DATE   | NAME (LAST, FIRST, MI) AND SSN OF APPLICANT |  |  | SIGNATURE                    |  |
| WITNESS  |   |  |  |                              |  |
| I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL                        |   |  |  |                              |  |
| DATE   | NAME AND GRADE OF WITNESS                   |  |  | SIGNATURE                    |  |
| REMARKS  |   |  |  |                              |  |

**APPENDIX C**  
**AIR FORCE ROTC PRESCREENING FORMS**

**FOR OFFICIAL USE ONLY (When filled in)**

**CERTIFICATION OF INVOLVEMENTS WITH CIVIL, MILITARY OR SCHOOL  
AUTHORITIES/LAW ENFORCEMENT OFFICIALS**

**PRIVACY ACT STATEMENT**

1. **AUTHORITY:** 10 USC 2101. 2. **PRINCIPAL PURPOSE(S):** To provide information and data necessary for administering the Senior AFROTC program, and for the processing and managing of selected students for commissioned service in the USAF. SSAN insures positive identification of the individual. 3. **ROUTINE USES:** Information may be disclosed for any of the blanket routine uses published by the Air Force. 4. **DISCLOSURE:** VOLUNTARY. However, if information is not provided, the applicant cannot be evaluated for acceptance into the AFROTC.

**I. STATEMENT TO THE APPLICANT/CADET**

- A. The Detachment Commander must know if you have ever been arrested, detained, convicted, involved with law enforcement officials or authorities for him/her to determine if you meet the character requirements for membership in Air Force ROTC. It is necessary for you to report any involvement with civil, military, or school authorities/law enforcement officials regardless of its insignificance, disposition, or finding on the certification provided below. Include traffic violations and any incidents which resulted in your being judged a juvenile offender. A finding of not guilty or advice by an attorney, court official, or anyone else to consider your record as clear does not constitute authority to leave the involvement off of the certification.
- B. In the future, if you are arrested, detained, convicted, etc., you must report the incident to the Detachment Commander or his/her designated representatives within 72 hours following its occurrence. If such incidents occur during a period of leave from the institution (e.g., student teaching or foreign study), attendance at Field Training, or during normal vacation periods, the 72-hour time limit will apply effective with the official date of your return to the institution.
- C. Concealing or failing to report an involvement with civil, military, or school authorities/law enforcement officials, giving false information or claiming subsequent to initial certification that you were unaware or ignorant of the contents of this document may result in elimination from consideration for membership in the Air Force ROTC program; or, if already a member, may result in your discontinuance from the Air Force ROTC program. The information reported on this certification form will be treated as confidential matter, subject to the provisions of the Privacy Act of 1974 and the Freedom of Information Act.

**CERTIFICATE**

I, \_\_\_\_\_, CERTIFY THAT THE INFORMATION CONTAINED IN THE FOLLOWING CERTIFICATIONS INCLUDES ALL ARRESTS, DETENTIONS, CONVICTIONS, INVOLVEMENTS, ETC., THAT I HAVE HAD WITH CIVIL, MILITARY (INCLUDING ART. 15), OR SCHOOL AUTHORITIES/LAW ENFORCEMENT OFFICIALS REGARDLESS OF DISPOSITION OR SEEMING INSIGNIFICANCE. THE LISTS ARE COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

**II. CERTIFICATION I**

| TYPE OF INVOLVEMENT | DATE OF INVOLVEMENT | NAME AND ADDRESS OF ARRESTING AUTHORITY/COURT | DISPOSITION/FINDING AND SENTENCE |
|---------------------|---------------------|---|----------------------------------|
|                     |                     |   |                                  |
|                     |                     |   |                                  |
|                     |                     |   |                                  |
|                     |                     |   |                                  |
|                     |                     |   |                                  |
|                     |                     |   |                                  |
|                     |                     |   |                                  |

WERE YOU DETAINED, CONFINED, OR PLACED ON PROBATION FOR ANY OF THE ABOVE?

☐ YES ☐ NO

WAS THE USE OF DRUGS OR ALCOHOL CITED?

☐ YES ☐ NO

ACTION BY PAS

☐ NO ACTION REQUIRED CORROBORATION REQUESTED \_\_\_\_\_

☐ WAIVER GRANTED CORROBORATION RECEIVED \_\_\_\_\_

☐ WAIVER DENIED REQUEST FOR WAIVER FORWARDED \_\_\_\_\_

TO AFROTC/RRFP \_\_\_\_\_

☐ APPROVED ☐ DISAPPROVED

SIGNATURE OF CADET

DATE

REMARKS COUNSELING

SIGNATURE OF PAS

GRADE

DATE

**FOR OFFICIAL USE (When filled in)**

|  |   |  |   |
|--|---|--|---|
| <b>III. CERTIFICATION II</b>   |   |  |   |
| <b>TYPE OF INVOLVEMENT</b>   | <b>DATE OF INVOLVEMENT</b>  | <b>NAME AND ADDRESS OF ARRESTING AUTHORITY/COURT</b>   | <b>DISPOSITION/FINDING AND SENTENCE</b> |
|  |   |  |   |
|  |   |  |   |
|  |   |  |   |
| <b>WERE YOU DETAINED, CONFINED, OR PLACED ON PROBATION FOR ANY OF THE ABOVE?</b><br><input type="checkbox"/> YES <input type="checkbox"/> NO | <b>WAS THE USE OF DRUGS OR ALCOHOL CITED?</b><br><input type="checkbox"/> YES <input type="checkbox"/> NO | <b>ACTION BY PAS</b><br><input type="checkbox"/> NO ACTION REQUIRED <b>CORROBORATION REQUESTED</b> _____<br><input type="checkbox"/> WAIVER GRANTED <b>CORROBORATION RECEIVED</b> _____<br><input type="checkbox"/> WAIVER DENIED <b>REQUEST FOR WAIVER FORWARDED TO AFOTC/RRFP</b> _____<br><div style="text-align: right;"><input type="checkbox"/> APPROVED    <input type="checkbox"/> DISAPPROVED</div> |   |
| <b>SIGNATURE OF CADET</b>  |   | <b>DATE</b>  |   |
| <b>REMARKS/COUNSELING</b>  |   |  |   |
| <b>SIGNATURE OF PAS</b>  |   | <b>GRADE</b>   | <b>DATE</b>                             |

|  |   |  |   |
|--|---|--|---|
| <b>IV. CERTIFICATION III</b>   |   |  |   |
| <b>TYPE OF INVOLVEMENT</b>   | <b>DATE OF INVOLVEMENT</b>  | <b>NAME AND ADDRESS OF ARRESTING AUTHORITY/COURT</b>   | <b>DISPOSITION/FINDING AND SENTENCE</b> |
|  |   |  |   |
|  |   |  |   |
|  |   |  |   |
| <b>WERE YOU DETAINED, CONFINED, OR PLACED ON PROBATION FOR ANY OF THE ABOVE?</b><br><input type="checkbox"/> YES <input type="checkbox"/> NO | <b>WAS THE USE OF DRUGS OR ALCOHOL CITED?</b><br><input type="checkbox"/> YES <input type="checkbox"/> NO | <b>ACTION BY PAS</b><br><input type="checkbox"/> NO ACTION REQUIRED <b>CORROBORATION REQUESTED</b> _____<br><input type="checkbox"/> WAIVER GRANTED <b>CORROBORATION RECEIVED</b> _____<br><input type="checkbox"/> WAIVER DENIED <b>REQUEST FOR WAIVER FORWARDED TO AFOTC/RRFP</b> _____<br><div style="text-align: right;"><input type="checkbox"/> APPROVED    <input type="checkbox"/> DISAPPROVED</div> |   |
| <b>SIGNATURE OF CADET</b>  |   | <b>DATE</b>  |   |
| <b>REMARKS/COUNSELING</b>  |   |  |   |
| <b>SIGNATURE OF PAS</b>  |   | <b>GRADE</b>   | <b>DATE</b>                             |

# **USAF DRUG AND ALCOHOL ABUSE CERTIFICATE**

(THIS FORM IS SUBJECT TO THE PRIVACY ACT OF 1974, USE BLANKET PASS AT FORMS 11 OR 423)

## **SECTION I**

### **DEFINITION OF TERMS**

**ALCOHOL ABUSE:** Alcohol use confirmed by competent medical authority that the individual is emotionally, mentally, or physically dependent on alcohol. **NOTE:** When not confirmed by medical authority, self-admitted alcohol use that leads to a person's misconduct or unacceptable behavior; to the impairment of work performance, physical or mental health, financial responsibility or personal relationships, must be reported during the medical examination for determination of alcohol abuse.

**DANGEROUS DRUGS:** Those non-narcotic drugs that are habit forming and/or have a potential for abuse because of their stimulant, depressant, or hallucinogenic effect. Includes cocaine, hallucinogens (to include lysergic acid diethylamide (LSD), phenocyclidine (PCP), tetrahydrocannabinol (THC) in non-marijuana form, and others), inhalants (to include paint, glue, thinners, and others), amphetamines (speed) and barbiturates (downers).

**MARIJUANA:** The intoxicating products of the hemp plant, to include hashish and all natural derivatives of cannabis sativa.

**NARCOTIC:** Any opiate or synthetic equivalent. Includes opium, morphine, heroin, codeine, demerol, dilaudid, methadone, percodan, and others.

**DRUG ABUSE:** The illegal, wrongful, or improper use of marijuana, any narcotic substance, hallucinogens, or any dangerous drug. Drugs prescribed by medical personnel and used for medical purposes by the patient to whom prescribed is not drug abuse.

**SUPPLIER or TRAFFICKER:** One who furnishes illegally, wrongfully, or improperly any of the drugs defined above to another person for profit or personal gain.

## **SECTION II**

### **CERTIFICATION AT TIME OF APPLICATION**

**WARNING:** YOU MUST BE TOTALLY HONEST IN COMPLETING THIS FORM. If you are truthfully now and are accepted by the Air Force, no punitive action can or will be taken against a civilian applicant as a result of any information you reveal. **HOWEVER, YOU ARE CAUTIONED THAT SHOULD YOU CONCEAL DRUG OR ALCOHOL ABUSE INFORMATION AT THIS TIME, AND IT IS DISCOVERED AFTER YOUR ENTRY INTO THE AIR FORCE, PUNITIVE ACTION MAY BE TAKEN AGAINST YOU BASED UPON THE FALSE INFORMATION YOU HAVE PROVIDED.** Such action includes, but is not limited to, elimination from training or discharge under less than honorable conditions.

INITIAL YES-NO BOXES AS APPLICABLE: YES NO

I have read and understand the definition of the terms above.

Have you ever used or experimented with marijuana? A YES response to this question is NOT disqualifying.

Have you ever experimented with, used, or possessed any dangerous drug or narcotic?

Have you ever been a supplier of or trafficker in marijuana, dangerous drugs or narcotics?

Have you ever been treated or undergone rehabilitation for drug or alcohol abuse?

## **SECTION III**

### **STATEMENTS OF UNDERSTANDING**

INITIALS

During my medical examination I will be tested for drug and alcohol abuse. I understand that any detection of drug use (including marijuana) or alcohol abuse will render me ineligible for the Air Force.

Service in the United States Air Force places me in a position of special trust and responsibility. Drug or alcohol abuse after this date will be considered evidence of my inability to meet the standards of behavior expected of me as a member of the Air Force. Therefore, any drug use (including marijuana) or any alcohol abuse, as described above, FROM THIS DATE FORWARD, renders me ineligible for the Air Force.

Drug and alcohol abuse by members of the U.S. Air Force violates Air Force standards of behavior and conduct and will not be tolerated. If I am identified as a drug or alcohol abuser while a member of the Air Force, appropriate disciplinary or administrative action may be taken against me, to include trial by court-martial or discharge under less than honorable conditions.

I understand that certain skill areas in the Air Force cannot be performed by persons who have abused drugs or alcohol, and my unit commander will have final approval authority regarding my actual assignment to sensitive skill positions. If I am not acceptable for such duties due to information I have revealed on this form, I will be reassigned to another position in my skill or reclassified into another skill. If it is established that I have used any substance beyond that which I have indicated on this form, I understand my enlistment, commissioning, or appointment may be declared fraudulent and I may be discharged.

**KNOWING AND UNDERSTANDING ALL THE INFORMATION ABOVE, AND REALIZING THAT THIS DOCUMENT WILL BE USED ONLY TO DETERMINE MY ELIGIBILITY AND RECORD MY CERTIFICATION OF ELIGIBILITY, I HEREBY STATE THAT THE ABOVE INFORMATION AS TO MY PREVIOUS DRUG OR ALCOHOL INVOLVEMENT IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.**

DATE

NAME (Last, First, MI) AND SSN OF APPLICANT

SIGNATURE

### **WITNESS**

I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL

DATE

NAME (Last, First, MI) AND GRADE OF WITNESS

SIGNATURE

|  |   |  |           |
|--|---|--|-----------|
| SECTION IV   |   | RECERTIFICATION AT TIME OF ENLISTMENT, COMMISSIONING, OR APPOINTMENT | INITIALS  |
| I HAVE READ AND FULLY UNDERSTAND ALL THE INFORMATION ON THIS FORM                                      |   |  |           |
| I HEREBY STATE THAT THERE HAS BEEN NO CHANGE IN MY STATUS SINCE I ORIGINALLY PROVIDED THIS INFORMATION |   | DATE OF ORIGINAL INFORMATION   |           |
| DATE   | NAME (Last, First, MI) AND SSN OF APPLICANT |  | SIGNATURE |
| WITNESS  |   |  |           |
| I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL                        |   |  |           |
| DATE   | NAME AND GRADE OF WITNESS                   |  | SIGNATURE |
| REMARKS  |   |  |           |

**APPENDIX D**  
**NAVY OCS PRESCREENING FORMS**

APPLICATION FOR COMMISSION OR WARRANT  
RANK U. S. NAVY OR NAVAL RESERVE  
NAVCUIT FORM 1100/11 (1/82)

2501. A sample NAVCRUIT Form 1100/11 (1-82) is appended as Annex X.

- BLOCK 1 - Enter Name: First, Middle-Maiden Name (if any) Last.
- BLOCK 2 - Applicant Status: Check appropriate block. If in one of the military services enter Rank or Rate. Enter Social Security Number.
- BLOCK 3 - (a) Enter present address if different from Home of Record address or address where orders or official correspondence should be mailed.
- (b) Indicate address where orders or official correspondence should be sent.
- (c) Address considered his home of record.
- BLOCK 4 - Check appropriate block for first designator preference. Indicate if direct appointment, reappointment or superseding appointment, and type of appointment.
- Enter grade of entry, except for Medical programs, first designator preference. In all cases, the component will be Naval Reserve. Check indicating application submitted IAW CRUITMAN-OFF or MILPERSCOM Instruction. (Leave designator preference blank for Two-Year NROTC.)
- BLOCK 5 - If "YES," give information requested. (Include Basic ROTC) Give information regarding reason or noncompletion, disenrollment or nonselection in Item 20. If you have an application pending, or applied and was turned down, so state. Please give City and State where application was made.
- BLOCK 6 - Self Explanatory.
- BLOCK 7 - After degrees earned, enter graduation date or anticipated graduation date.



- BLOCK 8 & 9 - Self Explanatory.
- BLOCK 10 - Self Explanatory.
- BLOCK 11 - Self Explanatory.
- BLOCK 12 - Indicate all traffic violations for which a fine or forfeiture of \$100.00 or less was imposed.
- BLOCK 13 thru 15 - Self Explanatory.
- BLOCK 16 - Under "Name of Employer" enter name of company and immediate supervisor.
- BLOCK 17 thru 18 - Self Explanatory.
- BLOCK 19 - If the answer is "YES" to either, complete the expanded drug statement contained in Annex Y. Also see Annex Z for list of drugs which have been designated as controlled substances.
- BLOCK 20 - Use this space for continuation of any of the items or for additional information. If necessary, use additional blank paper and attach to the copy. All applicants will specify why a Navy commission is being sought. For Medical (2105), indicate active duty for 24, or 36 months.
- BLOCK 21 - Self Explanatory.

**APPLICATION FOR COMMISSION OR WARRANT RATE,  
U.S. NAVY OR NAVAL RESERVE**  
NAVCRT 1100-11 (REV 1-82) S/N 0114-17-011-0004

**INSTRUCTIONS:** This questionnaire, in conjunction with Form DD-198, will establish a permanent record for use in evaluating your qualifications for appointment. In your future career it may well play an important part in determining the kinds of duty to which you will be assigned. Answer all questions completely. Write "none" in any blank not applicable to you. Read the certification at the end of this questionnaire before entering required data. If more space is needed make entry in Block 20 in additional sheets.

|   |                     |   |  |  |  |
|---|---------------------|---|--|--|--|
| 1. NAME (Last, Middle, Maiden name of wife - Last)  |                     | 2. STATUS   |  | NAME OR RATE   |  |
| Mr.   |                     | <input type="checkbox"/> MILITARY-<br>ACTIVE                              |  | SOCIAL SECURITY NO.  |  |
| Mrs.  |                     | <input type="checkbox"/> CIVILIAN   |  | <input type="checkbox"/> MILITARY-<br>INACTIVE                               |  |
| Miss  |                     |   |  |  |  |
| 3. (a) PRESENT ADDRESS  |                     |   |  |  |  |
| 10. MAILING ADDRESS   |                     |   |  |  |  |
| 11. HOME OF RECORD (unless address differs from 10)   |                     |   |  |  |  |
| 4. APPLICANT FOR  |                     |   |  |  |  |
| <input type="checkbox"/> USNA <input type="checkbox"/> NROTC <input type="checkbox"/> AOC <input type="checkbox"/> NFOC <input type="checkbox"/> AVROC <input type="checkbox"/> NAVCAD <input type="checkbox"/> OCE <input type="checkbox"/> SEE REMARK<br><input type="checkbox"/> OTHER—specify _____ |                     |   |  |  |  |
| <input type="checkbox"/> DIRECT APPOINTMENT <input type="checkbox"/> REAPPOINTMENT <input type="checkbox"/> SUPERBONDING APPOINTMENT  |                     |   |  | TYPE<br><input type="checkbox"/> COMMISSION <input type="checkbox"/> WARRANT |  |
| GRADE   | DESIGNATOR FOR POST | COMPONENT   |  | SUPERVISOR - (if applicable) and   |  |
| (a)   | (b)                 | <input type="checkbox"/> U.S. NAVY <input type="checkbox"/> NAVAL RESERVE |  | CRUITMAN OFF _____ SUPER INST _____  |  |

- ☐ YES    5. Have you ever previously applied for: (a) a commission; (b) program leading to a commission; (c) enlistment in the Navy, Marine Corps, Coast Guard, Army, Air Force or of any component thereof? (includes Service Academies, Federal and State Maritime Academies, NROTC programs, Officer Candidate Training, Platoon Leaders School, Flight Training, NESEP, etc.) If Yes, complete the following information:
- ☐ NO

| NATURE OF APPLICATION | DATE<br>(Month and Year) | PLACE | RESULT                   |                          |
|-----------------------|--------------------------|-------|--------------------------|--------------------------|
|                       |                          |       | ACCEPTED                 | REJECTED                 |
|                       |                          |       | <input type="checkbox"/> | <input type="checkbox"/> |
|                       |                          |       | <input type="checkbox"/> | <input type="checkbox"/> |
|                       |                          |       | <input type="checkbox"/> | <input type="checkbox"/> |

If previously accepted for a program leading to a commission, provide information specifying why a commission was not obtained through that program. If discontinued from that program, provide complete detail and circumstances regarding discontinuance.

NAME \_\_\_\_\_  
A. MARITAL STATUS (check appropriate box)

☐ SINGLE ☐ MARRIED ☐ WIDOWED ☐ DIVORCED ☐ SEPARATED ☐ ANNULLED ☐ REMARRIED

NO. OF DEPENDENTS (If you ☐ WIFE ☐ OTHER NO. OF CHILDREN \_\_\_\_\_

7. EDUCATION:

CHECK HIGHEST SCHOOL YEAR COMPLETED

HIGH SCHOOL ☐ ☐ ☐ ☐ COLLEGE ☐ ☐ ☐ ☐ ☐ GRADUATE WORK

DEGREES EARNED:

| UNIVERSITY MAJOR SUBJECTS FORTH | DEGREE AREA | GRADUATE MAJOR SUBJECTS FORTH | SEMESTER HOURS |
|---------------------------------|-------------|-------------------------------|----------------|
|                                 |             |                               |                |
|                                 |             |                               |                |
|                                 |             |                               |                |

8. KNOWLEDGE OF FOREIGN LANGUAGE

| LANGUAGE | HOW ACQUIRED<br>(School, Family, Work, etc.) | READ |      |      | SPEAK |      |      | UNDERSTAND |      |      |
|----------|--|------|------|------|-------|------|------|------------|------|------|
|          |  | EXC. | GOOD | FAIR | EXC.  | GOOD | FAIR | EXC.       | GOOD | FAIR |
|          |  |      |      |      |       |      |      |            |      |      |
|          |  |      |      |      |       |      |      |            |      |      |
|          |  |      |      |      |       |      |      |            |      |      |

9. COURSES TAKEN IN FLIGHT TRAINING, METEOROLOGY, NAVIGATION, MATHEMATICS, PHYSICS, ELECTRONICS, OCEANOGRAPHY

| COURSE | NAME OF SCHOOL | DEGREE DATE | CREDITS EARNED |
|--------|----------------|-------------|----------------|
|        |                |             |                |
|        |                |             |                |
|        |                |             |                |
|        |                |             |                |

10. OTHER TYPES OF TRAINING COMPLETED THAT REFLECT BACKGROUND QUALIFICATIONS OF VALUE TO THE NAVY SUCH AS SCUBA DIVING, COMPUTER PROGRAMMING/OPERATION, PRACTICAL ENGINEERING

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. PROFESSIONAL, OCCUPATIONAL, BUSINESS OR TRADE LICENSE(S)

| TYPE OF LICENSE | FIRST LICENSE YR. | MOST RECENT LICENSE YR. | CITY, STATE OR TERRITORY | HAVE YOU EVER HAD AN APPLICATION FOR LICENSE DENIED OR LICENSE SUSPENDED OR REVOKED? |
|-----------------|-------------------|-------------------------|--------------------------|--|
|                 |                   |                         |                          | <input type="checkbox"/> YES <input type="checkbox"/> NO                             |
|                 |                   |                         |                          |  |
|                 |                   |                         |                          |  |
|                 |                   |                         |                          |  |

If answer to above is "Yes," specify here: \_\_\_\_\_

12. TRAFFIC VIOLATIONS FOR WHICH A FINE OR FORFEITURE OF \$50.00 OR LESS WAS IMPOSED (Identify date, place, nature of offense and disposition)

| DATE | PLACE | NATURE OF OFFENSE | DISPOSITION |
|------|-------|-------------------|-------------|
|      |       |                   |             |
|      |       |                   |             |
|      |       |                   |             |
|      |       |                   |             |

13. SWIMMING ABILITY: can you swim 200 yards using the crawl, backstroke, side stroke and breast stroke 50 yards each and can you swim 50 feet under water and can you tread water

☐ YES

☐ NO

14. ATHLETICS: give information pertaining to membership in athletic teams, personal fitness programs, outdoor activities, etc. for the past SIX years:

| ORGANIZATION OR TYPE OF ACTIVITY | DATES | NUMBER OF DAYS PER MONTH |
|----------------------------------|-------|--------------------------|
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |
|                                  |       |                          |

15. SCHOLARSHIPS, HONORS AND AWARDS: ACADEMIC AND ATHLETIC

| AWARD TITLE | DATE RECEIVED |
|-------------|---------------|
|             |               |
|             |               |
|             |               |
|             |               |
|             |               |
|             |               |
|             |               |

#### 16. EMPLOYMENT

In the space furnished below, record every employment, both public and private of two months or more duration performed subsequent to your 16th birthday. Start with your present position and work back. Describe your field of work and position and give your duties and responsibilities in such detail as to make your qualifications clear. (Include information relating to duties, billet assignments, etc. relating to periods of Military Service.)

|                                       |  |  |
|---------------------------------------|--|--|
| NAME OF EMPLOYER                      | KIND OF BUSINESS OR ORGANIZATION                           | EXACT TITLE OF POSITION (Specify hours per week) |
| NUMBER AND TYPE OF PERSONS SUPERVISED | DATES OF SERVICE (Month and Year)<br>FROM: _____ TO: _____ | ANNUAL SALARY<br>Starting _____ Ending _____     |
| REASON FOR TERMINATION OF EMPLOYMENT  |  |  |
| DUTIES AND RESPONSIBILITIES           |  |  |

|                                       |  |  |
|---------------------------------------|--|--|
| NAME OF EMPLOYER                      | KIND OF BUSINESS OR ORGANIZATION                           | EXACT TITLE OF POSITION (Specify hrs per week) |
| NUMBER AND TYPE OF PERSONS SUPERVISED | DATES OF SERVICE (Month and Year)<br>FROM: _____ TO: _____ | ANNUAL SALARY<br>Starting _____ Ending _____   |
| REASON FOR TERMINATION OF EMPLOYMENT  |  |  |
| DUTIES AND RESPONSIBILITIES           |  |  |

# 17. EXTRA CURRICULAR ACTIVITIES

Membership in clubs, societies, fraternities, organizations (professional, religious, social) give names, dates and offices held, if any, during the last 10 years:

| ORGANIZATION | OFFICES HELD | DATES |
|--------------|--------------|-------|
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |
|              |              |       |

18. ☐ YES ☐ NO Have you ever claimed or been granted a pension, disability allowance, disability compensation, or retired pay from the U.S. Government?
- ☐ YES ☐ NO Are you presently receiving such compensation?

# 19. DRUG STATEMENT

Have you ever taken any narcotic, sedative, or tranquilizer drugs other than as prescribed by a physician or dentist?

☐ YES ☐ NO

Have you ever used LSD, marijuana, sniffed glue or used any other hallucinogens, hypnotics, stimulants or other known harmful or habit forming drugs and/or chemicals?

☐ YES ☐ NO

If the answer to either of the above is "YES," set forth full circumstances regarding drug use specifying type of drugs, number of times used, dates of use, reason(s) used, whether ever arrested for use or possession, and whether future use is rejected in block 20 or attach a separate page as amendment to this application.

20. REMARKS: This space and/or additional pages may be used for any amplifying information, completion of previous blocks and for a statement specifying why a commission is being sought.

21. I certify that all statements made in this application and any additional statements pertaining thereto are entirely true and complete to the best of my knowledge and belief. I understand that failure to answer any correspondence promptly or to accept any appointment tendered me will subject my application or appointment to cancellation without further notice.

EXPANDED DRUG STATEMENT

- a. Type of drug (or drugs) used:
- b. Approximate number of times used:
- c. Amounts taken:
- d. Method by which taken:
- e. Inclusive dates of use (be specific):
- f. Were you convicted or arrested for the drug use admitted?
- g. Give circumstances under which the drug use occurred such as experimentation, peer pressure, etc.

\_\_\_\_\_  
Signature of Applicant

I fully recognize the negative influence of drug abuse and categorically reject the abuse of drugs both now and for the future.

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Signature of Applicant

# FOR OFFICIAL USE ONLY

## SUMMARY SHEET

NAVCURUIT 1121/8 (Rev. 9-78) (Formerly NAVCURUIT 1120/48) S/N 8114-LF/811-3148

NAME AND TITLE (Typed)

| TEST SCORES (FILL IN APPLICABLE BLANKS) |        |       |         |         |             |   |
|---|--------|-------|---------|---------|-------------|---|
| A<br>S<br>Y                             | AGT    | ACT   | SAF     | SP      | PAR         | DATE TEST ADMINISTERED/SERIAL NUMBER            |
|   |        |       |         |         |             |   |
| O<br>A<br>R                             | AGT    | ACT   | RES     |         |             |   |
|   |        |       |         |         |             |   |
| A<br>S<br>S<br>E<br>S                   | GCT/RE | ANWAR | ABOUCRE | CLER/AS | INTERVIEWER | OTHER TYPE TEST ADMINISTERED AND SCORE ATTAINED |
|   |        |       |         |         |             |   |

### A. INVESTIGATION SUMMARY

(1) POLICE RECORD (CIVILIAN APPLICANTS) (Careful comparison of each law enforcement agency in each town and State in which applicant has resided since 14th birthday. Summarize of pertinent details.)

(2) ACTIVE DUTY PERSONNEL (Check of Service Record) (Summary of pertinent details concerning arrest, fines, court-martial, etc.)

(3) PERSONAL HISTORY AND HABITS (Comment on any significant factors such as: habits, vices, general reputation, etc., which should be considered in evaluating applicant for appointment to commissioned grade.)

### B. ENDORSEMENT SUMMARY

GENERAL EVALUATION OF APPLICANT (Comment on merit and potential considering such factors as: Personal military profession and academic qualifications, training, activities, interests, etc. These comments should highlight factors not otherwise shown in the application.)

Based upon all available information, it is my opinion that the applicant is ☐ highly recommended ☐ recommended ☐ not recommended for appointment in the U. S. Navy or Reserve over the following disqualifiers (in order of preference listed):

(1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

|                  |      |            |
|------------------|------|------------|
| Typed Name       | Rank | Designator |
| Signature        |      | Date       |
| Name of Activity |      |            |

ADDITIONAL COMMENTS OR COMMANDING OFFICER'S ENDORSEMENT MAY BE PLACED ON THE BACK

OPNAV 5350/1(5/82)

**DRUG AND ALCOHOL ABUSE  
STATEMENT OF UNDERSTANDING****PRIVACY ACT STATEMENT**

The Navy is responsible for preventing drug and alcohol abuse by its members and for disciplining those who promote or engage in drug and alcohol abuse. Navy personnel are subject to drug and alcohol testing methods, including urinalysis, to enforce this policy. Authority to obtain your social security number, which will be used for identification and filing, is provided by 5 USC 301 and Executive Order 9397 (NOTAL). Disclosure of your social security number is voluntary. Failure to disclose this information, however, will result in termination of the process for which this statement is required.

|   |          |
|---|----------|
| I, _____ understand that:<br>(Full name - first, middle, last)  | INITIALS |
| 1. Service in the United States Navy or Naval Reserve places me in a position of special trust and responsibility.  |          |
| 2. Drug abuse by members of the United States Navy is against the law; and drug and alcohol abuse, in general, violates Navy standards of behavior and duty performance and will not be tolerated.  |          |
| 3. The illegal or improper use of alcohol, marijuana and other controlled substances endangers my health and the safety of other Navy men and women.  |          |
| 4. If I illegally or improperly use or possess alcohol or drugs, including marijuana, appropriate disciplinary and/or administrative action may be taken against me. In the case of drugs, this action may include trial by court-martial or administrative separation from the Navy. Administrative separation for drug abuse or separation in lieu of trial by court-martial could result in an other than honorable discharge. Conviction by a court-martial of a drug-related offense may lead to a punitive separation. This can result in a denial of education benefits, home loan assistance, and other benefits administered by the VA. Additionally, a person receiving such a separation or discharge can expect to encounter substantial prejudice in civilian life in situations where the character of separation or discharge received from the Armed Forces may have a bearing. |          |
| 5. (Initial applicable section only -- a, b, or c)  |          |
| a. (OFFICERS PRE-COMMISSIONING PROGRAMS)<br>I understand the U. S. Navy's intolerance of substance abuse and that I will be screened by urinalysis testing for the presence of marijuana or drugs within thirty days of reporting for training. I further understand that a single detection of drug abuse after entry will result in disenrollment from an officer program and separation from the Navy.   |          |
| b. (CHIEF PETTY OFFICERS)<br>I understand that the Navy's policy of zero-tolerance towards drug and alcohol abuse by its leaders will result in administrative or disciplinary action and may result in my separation.  |          |



**DRUG AND ALCOHOL ABUSE STATEMENT OF UNDERSTANDING (Continued)**

|   |                        |
|---|------------------------|
| <p><b>5. c. (ENLISTED, E-1 THROUGH E-6)</b><br/>         I understand that the Navy does not tolerate drug or alcohol abuse by its members and will take disciplinary action against those who promote or engage in drug abuse. Pertaining to my enlistment into the Navy, I further understand that:</p> | <p><b>INITIALS</b></p> |
| <p>(1) The Navy drug urinalysis test can detect the use of illegal drugs, including marijuana, up to 30 days following such use.</p>  |                        |
| <p>(2) The drug urinalysis test will be given to all personnel within 48 hours of arrival at the Recruit Training Center and at other periodic follow-on times as necessary.</p>  |                        |
| <p>(3) If I am found to have positive test indications of marijuana use, I shall be strongly warned, and if any follow-on tests indicate continued drug abuse, will be cause for my separation from the Navy.</p>   |                        |
| <p>(4) Any drug urinalysis test showing positive indication of any drug use, other than marijuana, shall be cause for my being processed for discharge from the Navy.</p>   |                        |
| <p>(5) Detection of drug abuse may disqualify me from certain occupations or programs for which I enlisted and I may either be reassigned to another program or processed for separation from the Navy at the option of the Navy.</p>   |                        |

**CERTIFICATION**

**I HAVE READ AND FULLY UNDERSTAND ALL THE INFORMATION CONTAINED ON BOTH SIDES OF THIS FORM**

|   |                                   |             |
|---|-----------------------------------|-------------|
| <p>TYPED/PRINTED NAME (Last, First, Middle)</p> | <p>SIGNATURE</p>                  | <p>DATE</p> |
| <p>SSN</p>                                      | <p>GRADE/RANK (if applicable)</p> |             |

**CERTIFYING OFFICIAL AND WITNESS**

**I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE IN MY PRESENCE**

|  |                  |             |
|--|------------------|-------------|
| <p>TYPED/PRINTED NAME AND TITLE OF OFFICIAL CERTIFYING</p> | <p>SIGNATURE</p> | <p>DATE</p> |
| <p>TYPED/PRINTED NAME AND TITLE OF WITNESS</p>             | <p>SIGNATURE</p> | <p>DATE</p> |

|                |
|----------------|
| <p>REMARKS</p> |
|----------------|

**APPENDIX E**  
**AIR FORCE OTS PRESCREENING FORMS**

# USAF DRUG AND ALCOHOL ABUSE CERTIFICATE

THIS FORM IS SUBJECT TO THE PROVISIONS OF 1974 USE BLANKET PAS AF FORMS 11 OR 8831

## SECTION I

### DEFINITION OF TERMS

**ALCOHOL ABUSE:** Alcohol use confirmed by competent medical authority that the individual is emotionally, mentally, or physically dependent on alcohol. NOTE: When not confirmed by medical authority, self-admitted alcohol use that leads to a person's misconduct or unacceptable behavior, to the impairment of work performance, physical or mental health, financial responsibility or personal relationships, must be reported during the medical examination for determination of alcohol abuse.

**DANGEROUS DRUGS:** Those non-narcotic drugs that are habit forming and/or have a potential for abuse because of their stimulant, depressant, or hallucinogenic effect. Includes cocaine, hallucinogens (to include lysergic acid diethylamide (LSD), phenocyclidine (PCP), tetrahydrocannabinol (THC) in non-marijuana form, and others), inhalants (to include paint glue, thinners, and others), amphetamines (speed) and barbiturates (downers).

**MARIJUANA:** The intoxicating products of the hemp plant, to include hashish and all natural derivatives of cannabis sativa.

**NARCOTIC:** Any opiate or synthetic equivalent. Includes opium, morphine, heroin, codeine, demerol, dilaudid, methadone, percodan, and others.

**DRUG ABUSE:** The illegal, wrongful, or improper use of marijuana, any narcotic substance, hallucinogens, or any dangerous drug. Drugs prescribed by medical personnel and used for medical purposes by the patient to whom prescribed is not drug abuse.

**SUPPLIER or TRAFFICKER:** One who furnishes, illegally, wrongfully, or improperly any of the drugs defined above to another person for profit or personal gain.

## SECTION II

### CERTIFICATION AT TIME OF APPLICATION

**WARNING: YOU MUST BE TOTALLY HONEST IN COMPLETING THIS FORM.** If you are truthful now and are accepted by the Air Force, any future action will be taken against you, an applicant as a result of any information you reveal. HOWEVER, YOU ARE CAUTIONED THAT SHOULD YOU CONCEAL DRUG OR ALCOHOL ABUSE INFORMATION AT THIS TIME, AND IT IS DISCOVERED AFTER YOUR ENTRY INTO THE AIR FORCE, PUNITIVE ACTION MAY BE TAKEN AGAINST YOU BASED UPON THE FALSE INFORMATION YOU HAVE PROVIDED. Such action includes but is not limited to, discharge from training and discharge under less than honorable conditions.

INITIAL YES NO BOXES AS APPLICABLE YES NO

Have I read and understand the definition of the terms above?

Have you ever been experimented with marijuana? A YES response to this question is NOT disqualifying.

Have you ever experimented with used or possessed any dangerous drug or narcotic?

Have you ever been a supplier or trafficker in marijuana, dangerous drugs or narcotics?

Have you ever been treated or undergone rehabilitation for drug or alcohol abuse?

## SECTION III

### STATEMENTS OF UNDERSTANDING

INITIALS

During my medical examination, I will be tested for drug and alcohol abuse. I understand that any detection of drug use, including marijuana or alcohol abuse, will render me ineligible for the Air Force.

Service in the United States Air Force places me in a position of special trust and responsibility. Drug or alcohol abuse after this date will be considered evidence of my inability to meet the standards of behavior expected of me as a member of the Air Force. Therefore, any drug use, including marijuana or any alcohol abuse as described above, FROM THIS DATE FORWARD renders me ineligible for the Air Force.

Drug and alcohol abuse by members of the U.S. Air Force violates Air Force standards of behavior and conduct and will not be tolerated. If I am identified as a drug or alcohol abuser while a member of the Air Force, appropriate disciplinary or administrative action may be taken against me, to include trial by court-martial and discharge under less than honorable conditions.

I understand that certain skill areas in the Air Force cannot be performed by persons who have abused drugs or alcohol, and my unit commander will have final approval authority regarding my actual assignment to sensitive skill positions. If I am not acceptable for such duties due to information I have revealed on this form, I will be reassigned to another position in my skill or reassigned into another skill. If it is established that I have used any substance beyond that which I have indicated on this form, I understand my assignment, commissioning, or appointment may be declared fraudulent and I may be discharged.

KNOWING AND UNDERSTANDING ALL THE INFORMATION ABOVE, AND REALIZING THAT THIS DOCUMENT WILL BE USED ONLY TO DETERMINE MY ELIGIBILITY AND RECORD MY CERTIFICATION OF ELIGIBILITY, I HEREBY STATE THAT THE ABOVE INFORMATION AS TO MY PREVIOUS DRUG OR ALCOHOL INVOLVEMENT IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

DATE

NAME, LAST, FIRST, MI, AND GRADE OF APPLICANT

SIGNATURE

WITNESS

CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL

DATE

NAME, LAST, FIRST, MI, AND GRADE OF WITNESS

SIGNATURE

|  |   |  |          |
|--|---|--|----------|
| SECTION IV   |   | RECERTIFICATION AT TIME OF ENLISTMENT, COMMISSIONING, OR APPOINTMENT | INITIALS |
| I HAVE READ AND FULLY UNDERSTAND ALL THE INFORMATION ON THIS FORM                                      |   |  |          |
| I HEREBY STATE THAT THERE HAS BEEN NO CHANGE IN MY STATUS SINCE I ORIGINALLY PROVIDED THIS INFORMATION |   | DATE OF ORIGINAL INFORMATION   |          |
| DATE   | NAME (LAST, FIRST, MIDDLE AND SSN OF APPLICANT) | SIGNATURE  |          |
| WITNESS  |   |  |          |
| I CERTIFY THE ABOVE INDIVIDUAL SIGNED THIS CERTIFICATE OF HIS/HER OWN FREE WILL                        |   |  |          |
| DATE   | NAME AND GRADE OF WITNESS                       | SIGNATURE  |          |
| REMARKS  |   |  |          |

# APPLICATION FOR TRAINING LEADING TO A COMMISSION IN THE UNITED STATES AIR FORCE

OMB APPROVAL NO. 0701-0001  
Expires: 31 May 1988

*AUTHORITY: 10 U.S.C. 2107, Financial Assistance Program for Specially Selected Members; 10 U.S.C. 9411, Establishment and Purpose of Schools and Camps. Implemented by AFR 53-20, Airman Commissioning Programs and AFR 53-27, Officer Training School, USAF (OTS).*

*PRINCIPAL PURPOSE: To document evidence of application for consideration to enter an officer training program with subsequent commissioning and voluntary contractual agreement to serve the period specified.*

*ROUTINE USE: None.*

*DISCLOSURE IS VOLUNTARY: Failure to furnish the information may result in denial of consideration for training leading to a commission.*

## INSTRUCTIONS

(A) All information should be typewritten or clearly printed in ink. Enter ZIP code for all addresses.

(B) When allotted space is insufficient, continue on a separate sheet and complete appropriate explanation. (Identify each item number when using a separate sheet.)

(C) Enter all dates in day, month and year sequence (i.e., 15 Jan 86).

(D) Be certain that you understand and agree to certification in item 19 before signing this application.

(E) In those items where "(X)" appears, applicant must initial.

(F) Those items which do not apply, enter "None" or "Not Applicable", as proper.

(G) A transcript or certificate of completion must be included for each earned degree reflected in item 10.

(H) Home of Record is the actual place designated as the home of the member when commissioned, reinstated, appointed, reappointed, enlisted, inducted, or ordered to active duty. The designated home of record is used in determining travel entitlements upon termination of active duty.

|  |  |   |                         |
|--|--|---|-------------------------|
| 1. NAME (Last, First, Middle Initial) (Maiden, if applicable)  |  | 2. ACTIVE DUTY MILITARY APPLICANTS ONLY   |                         |
|  |  | GRADE   | TAFMSO                  |
|  |  | SERVING O/S<br><input type="checkbox"/> YES <input type="checkbox"/> NO   |                         |
| 3. PRESENT ADDRESS (Active Duty Mil-use unit, (Phone No.))   |  | SERVING CBPO (Include PAS Code)   |                         |
|  |  | CBPO PHONE NO   |                         |
| 4. HOME ADDRESS (Home of record)   |  | DATE DEPARTED CONUS   | DATE ELIGIBLE TO RETURN |
| 5. LEGAL STATE OF RESIDENCE (AECP applicants only)   |  | ACCOMPANIED BY DEPENDENTS<br><input type="checkbox"/> YES <input type="checkbox"/> NO                           |                         |
| 6. BASIC PERSONNEL DATA  |  |   |                         |
| SSN  | U.S. CITIZEN <input type="checkbox"/> YES <input type="checkbox"/> NO (If yes check below) | DATE AVAILABLE FOR TRAINING   |                         |
|  | NATIVE BORN  |   |                         |
| DATE OF BIRTH  | DERIVATIVE   |   |                         |
|  | NATURALIZED  |   |                         |
| 7. APPLICANT FOR (Check and initial program and category for which applying)   |  |   |                         |
| OFFICER TRAINING SCHOOL, USAF (OTS)  |  | (Indicate 1st, 2d, 3d Choices)  |                         |
| AIRMAN EDUCATION AND COMMISSIONING PROGRAM (AECP)  |  | PILOT   | (X)                     |
| AFROTC AIRMAN SCHOLARSHIP AND COMMISSIONING PROGRAM (AFROTC/ASCP)  |  | NAVIGATOR   | (X)                     |
|  |  | HELICOPTER PILOT (OTS only)   | (X)                     |
| OTHER (Specify)  |  | MISSILE   | (X)                     |
|  |  | OTHER SUPPORT PREFERENCE (X)<br>(See Item 5)  |                         |
|  |  | AIR WEAPONS CONTROLLER<br>Volunteer for flying duty<br><input type="checkbox"/> YES <input type="checkbox"/> NO |                         |
|  |  | PREMEDICAL (X)  |                         |
|  |  | NURSE (X)   |                         |
| 8. SUPPORT (Flying/Nonflying) (Indicate three) (Use utilization field codes - not codes)<br>(For AECP Use desired degree titles - for example, Electrical Engineering) |  |   |                         |
| (1)  | (2)  | (3)   |                         |
| 9. AFOQT SCORES (Only AF TCOs or Unit Commanders are authorized to enter scores)   |  |   |                         |
| AFOQT FORM   | DATE TESTED  | PILOT   | NAV TECH                |
|  |  | A. A.   | VERBAL                  |
|  |  | QUANTITATIVE  |                         |
| 10. EDUCATION  |  |   |                         |
| DEGREES EARNED AND YEAR  |  | (1)   | (2)                     |
| MAJOR SUBJECT  |  | (1)   | (2)                     |
| ADVANCED DEGREES EARNED AND YEAR   |  | (1)   | (2)                     |
| MAJOR SUBJECT  |  |   |                         |
| HOURS GRADUATE WORK (No advanced degree earned)  |  |   |                         |

| 11. AERONAUTICAL TRAINING  |              |  |                |   |              |                         |                      |      |  |
|--|--------------|--|----------------|---|--------------|-------------------------|----------------------|------|--|
| PRIVATE PILOT LICENSE<br><input type="checkbox"/> YES <input type="checkbox"/> NO  |              | COMMERCIAL PILOT LICENSE<br><input type="checkbox"/> YES <input type="checkbox"/> NO |                | LIST OTHER ADVANCED AERONAUTICAL RATINGS YOU HOLD |              |                         |                      |      |  |
| 12. A. HAVE YOU EVER BEFORE MADE APPLICATION FOR OR BEEN ENROLLED IN A PROGRAM LEADING TO A COMMISSION IN ANY COMPONENT OF THE UNIFORMED SERVICES (Include service academies and preparatory schools, ROTC Programs, Officer Candidate Training, OCS, Platoon Leaders Course, Officer Training School (OTS) etc.)<br><input type="checkbox"/> YES <input type="checkbox"/> NO (If "YES" complete items B and C below)  |              |  |                |   |              |                         |                      |      |  |
| B. NAME OR NATURE OF PROGRAM   | DATES        |  | PLACE          | RESULTS   |              |                         | COMPLETED            |      |  |
|  | APPLIED      | ENROLLED   |                | SELECTED  | NON-SELECTED | DISENROLLED DATES       | YES                  | NO   |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
| C. DID YOU INCUR AN ACTIVE DUTY SERVICE COMMITMENT?<br><input type="checkbox"/> YES <input type="checkbox"/> NO (If "YES" enter date the commitment was satisfied)   |              |  |                |   |              |                         |                      |      |  |
| 13. WERE YOU EVER ELIMINATED FROM A COURSE OF INSTRUCTION IN A MILITARY FLYING SCHOOL LEADING TO AN AERONAUTICAL RATING? (Include AFROTC, USAFA and OTS light plane training) <input type="checkbox"/> YES <input type="checkbox"/> NO (If "YES" complete the information below)   |              |  |                |   |              |                         |                      |      |  |
| TYPE OF TRAINING   |              | REASON FOR ELIMINATION   |                | NAME OF SCHOOL                                    |              | CLASS                   |                      | DATE |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
| 14. HAVE YOU EVER PREVIOUSLY MADE APPLICATION FOR OR BEEN ENLISTED IN ANY COMPONENT OF THE UNIFORMED SERVICES?<br><input type="checkbox"/> YES <input type="checkbox"/> NO (If "YES" complete statements below in chronological order)   |              |  |                |   |              |                         |                      |      |  |
| DATES  |              | HIGHEST GRADE  | SSN            | COMPONENT   | PRIMARY AFSC | ACTIVE OR INACTIVE DUTY | DUTY OR COURSE TITLE |      |  |
| FROM   | TO           |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
| 15. HAVE YOU EVER BEEN INVOLVED, ARRESTED, INDICTED, OR CONVICTED FOR ANY VIOLATION OF CIVIL OR MILITARY LAW, INCLUDING NONJUDICIAL PUNISHMENT PURSUANT TO ARTICLE 15 OF THE UCMJ OR MINOR TRAFFIC VIOLATIONS? <input type="checkbox"/> YES <input type="checkbox"/> NO (If "YES" explain below. List all offenses charged against you regardless of final disposition, including such situations where the involvement has not been recorded locally or the record has been ordered sealed or expunged by the court.) |              |  |                |   |              |                         |                      |      |  |
| OFFENSE  | DATE         | PLACE  | AGE            | DISPOSITION OF CHARGE                             |              | COURT                   |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
| 16. SEXUAL DATA  |              |  |                |   |              |                         |                      |      |  |
| A. HAVE YOU EVER BEEN OR ARE YOU CURRENTLY HOMOSEXUAL OR BISEXUAL? (Homosexual is defined as Sexual desire or behavior directed at persons of one's own sex; bisexual is defined as A person sexually responsive to both sexes.) <input type="checkbox"/> YES <input type="checkbox"/> NO  |              |  |                |   |              |                         |                      |      |  |
| B. HAVE YOU EVER ENGAGED IN, OR DO YOU DESIRE TO OR INTEND TO ENGAGE IN A HOMOSEXUAL ACT OR ACTS?<br><input type="checkbox"/> YES <input type="checkbox"/> NO  |              |  |                |   |              |                         |                      |      |  |
| 17. EMPLOYMENT RECORD (Begin with present position and work back.) DO NOT ENTER PART-TIME EMPLOYMENT OF LESS THAN 60 DAYS DURATION.  |              |  |                |   |              |                         |                      |      |  |
| EMPLOYER   | KIND OF WORK |  | DATES: FROM-TO |   | SALARY       | REASON TERMINATED       |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |
|  |              |  |                |   |              |                         |                      |      |  |

| 18. I UNDERSTAND AND AGREE THAT  |   |           |
|--|---|-----------|
| A.   | No promises have been made to me concerning selection or utilization field of assignment, if selected.  | (X)       |
| B.   | <i>(Flying or Technical Training Candidates)</i> If I do not complete the course of flying training or all technical training requirements, or formal upgrade or certification training as defined in AFR 36-12, the needs of the Air Force will determine whether or not I remain on active duty.  | (X)       |
| C.   | <i>(OTS Applicants Only)</i> If I am medically disqualified from the career field for which selected, I may be eliminated from OTS unless my academic background and experience can be utilized in another career field.  | (X)       |
| D.   | <i>(OTS/AECP Applicants Only)</i> Following OTS, my initial assignment as a commissioned officer will not be back to my current base of assignment (AFR 36-20).   | (X)       |
| E.   | <i>(OTS/AECP Applicants Only)</i> I am a bonus recipient still serving on a term of enlistment or extension for which the bonus was paid and still due to receive future annual installment payment(s). I understand that on the first class day of OTS/AECP, my future annual installment payment(s) will be suspended. If I am eventually commissioned, I will lose all entitlements to the suspended payments. If not commissioned and am returned to enlisted status in my bonus skill, I will begin receiving my installment payments, less a deduction for the time spent in the commissioning program. | (X)       |
| F.   | <i>(AECP Applicants Only)</i> As a condition of receiving advanced education as defined in Title 10, United States Code, Section 2005, I understand and agree:  | (X)       |
| (1)  | To complete the academic and military requirements specified in AFR 53-20 and serve on active duty for the period specified in this agreement.  | (X)       |
| (2)  | Should I fail to complete the academic or military requirements of AFR 53-20 or refuse to accept an appointment in the Air Force, if offered, I agree to serve on active duty for the remaining portion of my enlistment contract.  | (X)       |
| (3)  | Should I voluntarily or because of misconduct fail to complete the period of active duty specified in this agreement, I will reimburse the United States in an amount that bears the same ratio to the total period of active duty that I agreed to serve.  | (X)       |
| (4)  | Only the Secretary of the Air Force or designee may excuse me from my obligation to serve on active duty for the period specified in this agreement.  | (X)       |
| (5)  | A final decree of discharge in bankruptcy under Title 11, United States Code, if obtained within a period of five years after the last day of the specified period which I had agreed to serve, will not release me from my obligation to reimburse the United States as specified in this agreement.   | (X)       |
| G.   | I must serve a minimum of 4 years of active duty from date of entry on active duty, or if selected for pilot or helicopter training, 6 years (7 years if I enter undergraduate pilot or helicopter training on or after 15 Jun 1987) from date of award of aeronautical rating as a pilot or helicopter pilot, or if selected for navigator training, 5 years from date of award of aeronautical rating as a navigator.   | (X)       |
| H.   | Upon completion of training, I will accept an appointment as an officer in the Air Force, if offered.   | (X)       |
| I.   | If when qualified for such consideration, I am considered for a Regular Air Force appointment, or for Indefinite Reserve status, and:   | (X)       |
| (1)  | A Regular Air Force appointment is tendered and I accept, my previously established release from extended active duty will be nullified. Earlier separation may result from a change in law, regulation, or policy, regardless of my agreement to serve as a Regular Air Force officer, or  | (X)       |
| (2)  | Indefinite Reserve Status is offered and I accept, my previously established release from extended active duty will be nullified. Earlier separation may result from a change in law, regulation, or policy, regardless of my agreement to serve in indefinite status.  | (X)       |
| (3)  | If, after I accept a Regular Air Force appointment, I desire to resign my commission and be separated from active duty, I must tender my resignation under appropriate directives. My separation will be contingent on approval of my resignation by the Secretary of the Air Force.  | (X)       |
| (4)  | If, after I accept Indefinite Reserve Status, I desire to request release from extended active duty, I must, under appropriate directives, apply for release from active duty. My release from active duty will be contingent on approval by the Secretary of the Air Force.  | (X)       |
| 19. I CERTIFY that the foregoing entries are true, correct and complete to be best of my knowledge and belief. |   |           |
| DATE   | TYPED NAME AND GRADE OF APPLICANT   | SIGNATURE |
|  |   |           |
| DATE   | TYPED NAME AND GRADE OF WITNESS (Active Duty Commander or Recruiter) (For USAFRS, show RIC).  | SIGNATURE |
|  |   |           |

|  |  |                                     |  |
|--|--|-------------------------------------|--|
| <b>REQUEST FOR EVALUATION AND INFORMATION</b>  |  | <b>DATE</b>                         | <b>FORM APPROVED</b><br><b>OMB NO: 0701-0079</b><br><b>EXP DATE: 30 NOV 66</b> |
| <b>TO</b>  |  | <b>FROM</b>                         |  |
| <p>Your assistance is requested to enable this office to evaluate the below named applicant who has applied for enlistment in the United States Air Force. Your evaluation will be an important factor in establishing the applicant's fitness for enlistment. Any information you consider relevant will be helpful. Please complete Section III (on reverse) and return in the enclosed envelope. Your cooperation is appreciated.</p> |  |                                     |  |
| <b>SECTION I</b>   |  | <b>TO BE COMPLETED BY RECRUITER</b> |  |
| <b>NAME AND ADDRESS OF APPLICANT</b>   |  |                                     |  |
| <b>APPLICANT REVEALED THE FOLLOWING INFORMATION</b>  |  |                                     |  |
| <b>TYPED NAME AND GRADE OF RECRUITER</b>   |  | <b>SIGNATURE</b>                    |  |
| <b>SECTION II</b>  |  | <b>TO BE COMPLETED BY APPLICANT</b> |  |
| <p>I desire to enter the United States Air Force and approve this request for information.</p>   |  | <b>SIGNATURE OF APPLICANT</b>       |  |



| <b>SECTION III</b> <b>EVALUATION OF APPLICANT</b> <i>(To be completed by Law Enforcement Agency)</i>                   |   |   |
|--|---|---|
| <b>BRIEF STATEMENT WITH DESCRIPTION OF OFFENSE(S) AND DATE(S) COMMITTED</b>  |   |   |
| <b>TYPE OF JUDICIARY</b> <i>(Juv/Civ Court)</i>  | <b>TERM(S) OF SENTENCE(S) IMPOSED</b>                 | <b>POSSIBLE MAXIMUM SENTENCE(S) IMPOSED</b> |
| <b>DATES ENTERED AND RELEASED FROM CIVIL CUSTODY</b> <i>(Enter N/A if not applicable)</i>                              |   |   |
|  | <b>FROM</b> <i>((Month &amp; Year))</i>               | <b>TO</b> <i>((Month &amp; Year))</i>       |
| <b>Confinement</b>   |   |   |
| <b>Parole</b>  |   |   |
| <b>Probation</b>   |   |   |
| <b>Supervision</b>   |   |   |
| <b>CIVIL RESTRAINT</b><br><input type="checkbox"/> DOES <input type="checkbox"/> DOES NOT EXIST.    TYPE OF RESTRAINT: |   |   |
| <b>EVALUATION OF PROGRESS MADE BY APPLICANT TOWARD REHABILITATION</b>  |   |   |
| <b>ADDITIONAL OR RELEVANT INFORMATION</b>  |   |   |
| <b>DATE</b>  | <b>TYPED OR PRINTED NAME &amp; TITLE OF EVALUATOR</b> | <b>SIGNATURE</b>                            |

| EVALUATION OF COMMISSIONING APPLICANTS   |  |        |  |                      |  |                  |  |                              |  | OMB NO 0701-0104<br>EXPIRES 30 SEP 1988             |  |
|--|--|--------|--|----------------------|--|------------------|--|------------------------------|--|---|--|
| <b>AUTHORITY:</b> 10 USC 591, Reserve components, qualifications 10 USC 9411, Establishment and Purpose of Schools and Camps.<br><b>PURPOSE:</b> To determine qualifications for training leading to a commission of Officer Training School (OTS) and Airman Early Commissioning Program (AECP) applicants. To determine qualifications for direct appointment of USAFR airmen not on extended active duty (EAD) and Air Reserve Technicians (ART).<br><b>ROUTINE USES:</b> None. Furnishing information is voluntary. Failure to furnish information may result in denial of consideration for training leading to a commission or direct appointment. |  |        |  |                      |  |                  |  |                              |  |   |  |
| <b>PART A. TO BE COMPLETED BY APPLICANT</b><br><small>(Print in ink and stay within lines)</small>   |  |        |  |                      |  |                  |  |                              |  |   |  |
| <b>SECTION I. IDENTIFICATION DATA</b>  |  |        |  |                      |  |                  |  |                              |  |   |  |
| 1. LAST NAME - FIRST NAME - MIDDLE NAME  |  |        |  |                      |  | 2. GRADE         |  | 3. SSN                       |  | 4. DATE OF BIRTH (YYMMDD)                           |  |
| 5. HOME ADDRESS AND TELEPHONE NUMBER (Include ZIP Code and Area Code)<br><small>(Military-use unit of assignment)</small>  |  |        |  |                      |  |                  |  |                              |  | 6A. PROGRAM FOR WHICH APPLYING                      |  |
|  |  |        |  |                      |  |                  |  |                              |  | 6B. IF OTS OR AECP DATE (YYMMDD) AVAILABLE TO ENTER |  |
| <b>SECTION II. EDUCATION AND EXPERIENCE</b>  |  |        |  |                      |  |                  |  |                              |  |   |  |
| 7. SUBJECT   |  |        |  | UNDERGRADUATE DEGREE |  |                  |  | GRADUATE DEGREE              |  |   |  |
| A. NAME AND DATE(S) OF SCHOOL(S) ATTENDED  |  |        |  |                      |  |                  |  |                              |  |   |  |
| B. SUBJECT MAJOR/MINOR   |  |        |  |                      |  |                  |  |                              |  |   |  |
| C. CUMULATIVE GRADE POINT AVERAGE  |  |        |  |                      |  |                  |  |                              |  |   |  |
| D. SCHOOL HONORS   |  |        |  |                      |  |                  |  |                              |  |   |  |
| E. POSITION(S) IN STUDENT ORGANIZATION(S)<br><small>(Social, Academic, Fraternal)</small>  |  |        |  |                      |  |                  |  |                              |  |   |  |
| F. SCHOLARSHIPS  |  |        |  |                      |  |                  |  |                              |  |   |  |
| G. HOURS WORKED WEEKLY TO DEFRAY SCHOOL COSTS  |  |        |  |                      |  |                  |  |                              |  |   |  |
| H. TYPES OF ATHLETIC PARTICIPATION   |  |        |  |                      |  |                  |  |                              |  |   |  |
| <b>8. SPECIAL AREAS</b>  |  |        |  |                      |  |                  |  |                              |  |   |  |
| A. ANGUS OR USAFR AFFILIATION  |  |        |  |                      |  | B. PRIOR SERVICE |  |                              |  | C. PRIVATE PILOT LICENSE                            |  |
| <input type="checkbox"/> YES   |  | BRANCH |  | NO OF YRS.           |  | HIGHEST GRADE    |  | <input type="checkbox"/> YES |  | <input type="checkbox"/> NO                         |  |
| <input type="checkbox"/> NO  |  |        |  |                      |  |                  |  | <input type="checkbox"/> YES |  | <input type="checkbox"/> NO                         |  |
| D. INDUSTRIAL OR TRADE SCHOOLS ATTENDED  |  |        |  |                      |  | E. MATH COURSE   |  |                              |  | F. COMPUTER SCIENCE                                 |  |
|  |  |        |  |                      |  | TOTAL HOURS      |  | NO. HOURS CALCULUS           |  | NO. HOURS OF PROGRAMMING                            |  |
|  |  |        |  |                      |  |                  |  |                              |  |   |  |
| 9. WHAT ARE YOUR OBJECTIVES AND REASONS FOR DESIRING AN AIR FORCE COMMISSION? (Include what you have to offer the Air Force. Confine comments to this space. Attachments are not authorized.)  |  |        |  |                      |  |                  |  |                              |  |   |  |
|  |  |        |  |                      |  |                  |  |                              |  |   |  |

**PART B.****TO BE COMPLETED BY USAF RECRUITING INTERVIEWING OFFICIAL,  
UNIT COMMANDER, OR SUPERVISOR, AS APPLICABLE.****SECTION III.****RECORD OF INTERVIEW****10. Factors Evaluated** (Evaluate all factors. Make brief statements. Indicate outstanding areas. Attachments are not authorized.)**A. APPEARANCE** (Grooming, posture, physique)

AFR 35-11 maximum allowable weight is \_\_\_\_\_ current weight is \_\_\_\_\_.

**B. CONFIDENCE, MATURITY** (Sincerity, Social Adjustment)**C. ATTITUDE** (Adaptability to military life, travel, remote assignments)**D. MOTIVATION** (Enthusiasm, work way through school, Effort to make interview)**E. WORK EXPERIENCE** (Positions held - responsibility, supervision)**F. LEADERSHIP POTENTIAL** (Team Captain, Project Officer, community activities, volunteer work, chairperson)**G. MENTAL ALERTNESS** (Ability to present and understand ideas)**H. COMMUNICATION SKILLS** (Grammar, vocabulary, articulation)**I. POTENTIAL TO COMPLETE PROGRAM** (Interest in program, reaction to program)**J. OVERALL EVALUATION****11. WAIVERS REQUIRED**☐ NONE ☐ AGE ☐ MORAL ☐ DD 785 ☐ R.E. CODE ☐ DRUG ☐ OTHER (Specify)**12. Assignment Limitations** (If YES, explain: Non-US Citizen relatives, CHAP Dep, Peace Corp, etc.)**13. Comments and recommendations (MANDATORY).** (Include comments on applicant's officer potential. If applicant is or was in the military service, include comments that applicant's service records have been reviewed and whether or not the records contain derogatory information.)**14. DATE****15. TYPED NAME, GRADE, ORGANIZATION AND  
TELEPHONE NO. OF INTERVIEWING OFFICIAL****16. SIGNATURE****PART C.****INDORSEMENT BY FIELD GRADE OFFICER IN APPLICANT'S CHAIN OF  
COMMAND, IF SIGNER OF ITEM 16 IS LESS THAN GRADE OF MAJOR****SECTION IV****INDORSEE ACTION****17. COMMENTS****18. DATE****19. TYPED NAME, GRADE, AND TITLE****20. SIGNATURE**

**APPENDIX F**  
**MARINE CORPS PRESCREENING FORMS**

DRUG STATEMENT FOR OC/PLC APPLICATION

-----  
-----  
If the answer to block 12 of "Application for Officer Programs"  
(NAVMC 10418-1) is "YES" set forth full circumstances below  
including approximate times, amount taken and period over which  
taken:  
-----  
-----

A. TYPE OF DRUG (OR DRUGS) USED:

-----  
B. APPROXIMATE NUMBER OF TIMES USED:

-----  
C. AMOUNTS TAKEN:

-----  
D. METHOD BY WHICH TAKEN:

-----  
E. INCLUSIVE DATES OF USE (BE SPECIFIC):

-----  
F. WERE YOU CONVICTED OR ARRESTED FOR THE DRUG USE ADMITTED?

-----  
G. CIRCUMSTANCES UNDER WHICH THE DRUG USE OCCURRED (USE BACK OF  
THIS SHEET IF NECESSARY):  
-----  
-----

SIGNATURE OF WITNESSING OFFICER

SIGNATURE OF APPLICANT



UNITED STATES MARINE CORPS

FORM APPROVED  
O M B 0703-0012

IN REPLY REFER TO

Dear

The person listed below has applied for enrollment in an officer training program of the Marine Corps and has given your name as a reference.

This is a program leading to appointment to commissioned rank in the Marine Corps Reserve. In the selection of candidates for appointment as officers, decisions are made on the basis of all available relevant information regarding the applicant's background in terms of education, intelligence, experience and personal characteristics. For some of the qualities, objective evaluations can be made from academic records, test results, and employment records. However, such intangible qualities as personal characteristics can best be evaluated by the objective ratings of those persons who have personal knowledge of the candidate. To this end, I ask you to check the appropriate columns on the rating schedule on the reverse side of this letter. Also, would you please fill in the blanks with any information you consider pertinent and helpful to a panel of officers at Headquarters, U.S. Marine Corps, which must evaluate the officer potential of the applicant.

The information you furnish will be treated confidentially. However, under the Freedom of Information Act and the Privacy Act of 1974, a copy of this completed form may be released if requested by the applicant. This form is authorized by Marine Corps Order P1100.73 series. While you are not required to respond, your cooperation in this matter is greatly appreciated.

Enclosed is a return addressed, postage free envelope for your convenience in returning the rating schedule.

Sincerely,

**APPLICANT RELEASE STATEMENT**

I am aware of the provisions of the Family Educational and Privacy Right Act. I hereby authorize the release of the requested information directly to the Marine Corps agency indicated on this form. I desire that an objective evaluation be rendered.

\_\_\_\_\_  
(Signature of Witness)

\_\_\_\_\_  
(Signature of Applicant)

\_\_\_\_\_  
(Date)

|                        |
|------------------------|
| NAME OF APPLICANT      |
| SOCIAL SECURITY NUMBER |
| ADDRESS                |

# REFERENCE QUESTIONNAIRE INSTRUCTIONS

Evaluate the candidate on all sixteen of the factors listed below. Mark only one choice that best describes the qualities of the applicant in relation to those of his/her peers

## BASE YOUR EVALUATION ON THE FOLLOWING SCALE:

**SUPERIOR** - Outstanding potential based on demonstrated performance

**ABOVE AVERAGE** - Demonstrates capabilities ahead of peers

**AVERAGE** - Demonstrates capabilities typical of peers

**BELOW AVERAGE** - Capabilities on a lower scale than that of peers

**INFERIOR** - No Capabilities or growth potential demonstrated

**NOT OBSERVED** - Insufficient contact to give an opinion

|              |          |               |         |               |          |
|--------------|----------|---------------|---------|---------------|----------|
| NOT OBSERVED | INFERIOR | BELOW AVERAGE | AVERAGE | ABOVE AVERAGE | SUPERIOR |
|--------------|----------|---------------|---------|---------------|----------|

1. Academic Potential
2. Respect Tendered by peers
3. Ability to accept criticism by seniors
4. Ability and willingness to conform to established rules of conduct
5. Ability to adapt to demands of close group-living
6. Interest and willingness to accept responsibilities in extracurricular activities
7. Ability to make friends easily
8. Interest in participating in competitive situations
9. Ability to work towards goals when in a subordinate position
10. Ability to influence others in definite lines of action
11. Dexterity, agility and physical coordination
12. Ability to carry a demanding academic program at the college level
13. Ability to deal with frustration
14. Personal appearance
15. Ability to communicate verbally
16. How well interest and personality are related to a career in the military

GENERAL COMMENTS - IN YOUR OWN WORDS, PLEASE GIVE A SUMMARY EVALUATION OF THE APPLICANT

HOW LONG HAVE YOU KNOWN THE APPLICANT?

RELATIONSHIP TO THE APPLICANT (Professor, Employer, Etc.)

SIGNATURE

PROFESSION

NAME OF FIRM OR INSTITUTION

PERSONAL INFORMATION QUESTIONNAIRE (1110)

NAVMC 10084 REV. 9-85. Previous editions are obsolete and will not be used.  
SN 0000-00-001-4756 UN PADS OF 100